5410.13

DCAAP 5410.13
January 1991

DEFENSE CONTRACT AUDIT AGENCY

COMPILATION OF PRIVACY ACT SYSTEM NOTICES

D1.46:

READEX FICHE best copy available

DEFENSE CONTRACT AUDIT AGENCY
CAMERON STATION
ALEXANDRIA, VA 22304-6178

CMR

DCAA PAMPHLET
5410.13

January 1991

FOREWORD

This pamphlet is designed to offer members of the Agency, as well as members of the general public, a complete summary of DCAA records that are accessed by name, social security number, or other personal identifier. These records, known as "Privacy Act Systems of Records", provide a detailed description of each record system to include instructions for individual access, safeguards, and purpose for the maintenance of the system.

DCAAP 5410.13 is intended to be used as a companion issuance to DCAAI 5410.10, DCAA Privacy Act Program, in the administration and management of DCAA information practices under the Privacy Act. The system notices contained in this publication establish limitations and permissible practices in the collection, maintenance, dissemination, use, and disclosure of information concerning individuals by the Agency.

All notices printed herein are covered and mandated by the Privacy Act of 1974, 5 U.S.C. 552a, and have been duly published for public comment in the Federal Register prior to the collection of personal information.

The notices in this pamphlet are preceded by "Blanket Routine Uses", and followed by a listing of DCAA official mailing addresses. These blanket routine uses universally apply to all DCAA systems of records and stand in addition to the routine uses established for individual systems of records. This pamphlet also contains system notices published by the Equal Employment Opportunity Commission, Federal Emergency Management Agency, General Services Administration, Merit Systems Protection Board, Office of Government Ethics, and the Office of Personnel Management which are used as standard systems of records for Federal agencies that are available for DCAA use.

John van Santen
John van Santen
Assistant Director, Resources

DISTRIBUTION:
C, G, P

DCAA BLANKET ROUTINE USES

A. ROUTINE USE - LAW ENFORCEMENT

If a system of records maintained by a DCAA activity to carry out its functions indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the agency concerned, whether federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto.

B. ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by a DCAA activity may be disclosed as a routine use to a federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit.

C. ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by a DCAA activity may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

D. ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by a DCAA activity may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

E. ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the OMB in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

F. ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by a DCAA activity may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities to comply with requirements imposed by, or to claim right conferred in, international agreements and arrangements including those regulating the stationing and status in foreign countries of DoD military and civilian personnel.

G. ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in Internal Revenue Service (IRS) Form W-2 which is maintained in a record from a system of records maintained by a Component may be disclosed to state and local taxing authorities with which the Secretary of the Treasury has entered into agreements under 5 U.S.C., Sections 5516, 5517, and 5520 and only to those state and local taxing authorities for which an employee or military member is or was subject to tax regardless whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin No. 76-07.

H. ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by a DCAA activity may be disclosed to the Office of Personnel Management (OPM) concerning information on pay and leave, benefits, retirement deduction, and any other information necessary for the OPM to carry out its legally authorized government-wide personnel management functions and studies.

DEFENSE CONTRACT AUDIT AGENCY
OFFICES

(Alphabetically by State and City)

California

DCAA SOUTHWESTERN REGIONAL OFFICE
Attention: RCI-4
16700 Valley View Avenue, Suite #300
La Mirada, CA 90638-5830

DCAA WESTERN REGIONAL OFFICE
Attention: RCI-7
450 Golden Gate Avenue, Box 36116
San Francisco, CA 94102-3563

Georgia

DCAA EASTERN REGIONAL OFFICE
Attention: RCI-1
805 Walker Street
Marietta, GA 30060-2731

Massachusetts

DCAA BOSTON REGIONAL OFFICE
Attention: RCI-2
424 Trapelo Road
Waltham, MA 02154-6397

Pennsylvania

DCAA MID-ATLANTIC REGIONAL OFFICE
Attention: RCI-6
600 Arch St., Room 4400
Philadelphia, PA 19106-1604

Texas

DCAA CENTRAL REGIONAL OFFICE
Attention: RCI-3
106 Decker Court, Suite 300
Irving, TX 75062-2795

Virginia

DCAA HEADQUARTERS
Attention: CMR
Cameron Station
Alexandria, VA 22304-6178

INDEX

DEFENSE CONTRACT AUDIT AGENCY

System name		Page
152.1	Security Information System (SIS)	1
152.2	Personnel Security Data Files	3
152.5	Notification of Security Determinations	5
152.6	Regional and DCAI Security Clearance Request Files	7
152.7	Clearance Certification	9
152.17	Security Status Master List	11
152.22	Classified Information Nondisclosure Agreement (NdA)	13
160.5	Travel Orders	15
211.11	DCAA Drug-Free Federal Workplace Records	17
240.3	Legal Opinions	19
240.5	Standards of Conduct, Conflict of Interest	21
358.3	Grievance & Appeal Files	23
367.5	Employee Assistance Program (EAP) Counseling Records	25
371.5	Locator Records	27
440.2	Time and Attendance Reports	29
590.8	Field Audit Office Management Information System (FMIS)	31
590.9	DCAA Automated Personnel Inventory System (APIS)	33

OTHER AGENCIES

OPM/GOVT-1	General Personnel Records	36
OPM/GOVT-2	Employee Performance File System Records	46
OPM/GOVT-3	Records of Adverse Actions and Actions Based on Unacceptable Performance	53
OPM/GOVT-5	Recruiting, Examining, and Placement Records	57

System name		Page
OPM/GOVT-6	Personnel Research and Test Validation Records	64
OPM/GOVT-7	Applicant Race, Sex, National Origin, and Disability Status Records	68
OPM/GOVT-9	File on Position Classification Appeals, Job Grading Appeals, and Retained Grade or Pay Appeals	72
OPM/GOVT-10	Employee Medical File System Records	76
EEOC/GOVT-1	Equal Employment Opportunity Complaint Records and Appeal Records	83
FEMA/GOVT-1	National Defense Executive Reserve System	86
GSA/GOVT-2	Employment under Commercial Activities Contracts	89
GSA/GOVT-3	Travel Charge Card Program	91
GSA/GOVT-4	Contracted Travel Services Program	93
MSPB/GOVT-1	Appeals and Case Records	95
OGE/GOVT-1	Executive Branch Public Financial Disclosure Reports and Other Ethics Program Records	99
OGE/GOVT-2	Confidential Statements of Employment and Financial Interests	104

Note 1: The eight Office of Personnel Management (OPM/GOVT) notices contained in this issuance were published in the Federal Register on February 5, 1990 as part of the Office of Personnel Management Compilation of Privacy Act System Notices and may be found at 55 FR 3838. OPM/GOVT-4 and OPM/GOVT-8 do not exist. These numbers are reserved for future Office of Personnel Management Privacy Act System Notice issuances.

Note 2: The Equal Employment Opportunity Commission (EEOC/GOVT) notice contained in this issuance was published in the Federal Register on April 30, 1982 and may be found at 47 FR 18664.

Note 3: The Federal Emergency Management Agency (FEMA/GOVT) notice contained in this issuance was published in the Federal Register on February 3, 1987 and may be found at 52 FR 3344.

Note 4: The three General Services Administration (GSA/GOVT) notices contained in this issuance were published in the Federal Register on February 10, 1983, September 29, 1983 and May 15, 1985/July 15, 1985 and may be found at 48 FR 6176, 48 FR 44655, and 50 FR 20294/50 FR 28988.

Note 5: The Merit Systems Protection Board (MSPB/GOVT) notice contained in this issuance was published in the Federal Register on April 27, 1990 and may be found at 55 FR 17846.

Note 6: The two Office of Government Ethics (OGE/GOVT) notices contained in this issuance were published in the Federal Register on February 22, 1990 and may be found at 55 FR 6328 and 55 FR 6330.

All notices in this publication are reprinted as they appeared in the Federal Register. Sometimes this may lead to confusion. A specific case in point is the frequent reference in the DCAA notices to "**Official mailing addresses are published as an appendix to DCAA's compilation of records system notices**". This guidance was accurately stated as it appeared in the Federal Register, however, as an Agency issuance, the "mailing addresses" appear at the beginning of the pamphlet, immediately preceding the DCAA Privacy Act system notices. Should you have any questions, please contact the Information and Privacy Advisor at Headquarters, DCAA, Information Resources Management Branch (CMR), at (703) 274-4400.

RDCAA 152.1

System name:

Security Information System (SIS).

System location:

Primary system is located at the Security Office, Headquarters, Defense Contract Audit Agency (DCAA), Cameron Station, Alexandria, VA 22304-6178.

Decentralized segments are located at DCAA Regional Security Offices. Official mailing addresses are published as an appendix to DCAA's compilation of records systems notices.

Categories of individuals covered by the system:

All DCAA employees.

Categories of records in the system:

Records contain name, Social Security Number, date and place of birth, citizenship, position sensitivity, accession date, position number, organizational assignment, security adjudication, clearance, eligibility, and investigation data.

Authority for maintenance of the system:

44 U.S.C. 2904 and 3102; 5 U.S.C. 7531 through 7533; Executive Order 10450, "Security Requirements for Government Employees," as amended; Executive Order 12356, "National Security Information"; and Executive Order 9397.

Purpose(s):

To submit data on a regular basis to the DoD Defense Central Index of Investigations (DCII), and to provide the DCAA Security Office with a ready reference of security information on DCAA personnel.

Routine uses of records maintained in the system, including categories of users and the purpose of such uses:

The "Blanket Routine Uses" that appear at the beginning of DCAA's compilation of systems of records apply to this system.

Policies and practices for storing, retrieving, accessing, retaining and disposing of records in the system:

Storage:

Records are maintained in automated data systems.

Retrievability:

Records are retrieved by Social Security Number or name of employee.

Safeguards:

Automated records are protected by restricted access procedures. Records are accessible only to authorized personnel who are properly cleared and trained and who require access to connection with their official duties.

Retention and disposal:

Records are retained in the active file until an employee separates from the agency. At that time, records are moved to the inactive file, retained for two years, and then deleted from the system. Hardcopy listings and tapes produced by this system are destroyed by burning.

System manager(s) and address:

Security Officer, Headquarters, DCAA, Cameron Station, Alexandria, VA 22304-6178.

Notification procedure:

Individuals seeking to determine whether this system of records contains information about themselves should address written inquiries to the Security Office, Defense Contract Audit Agency, Headquarters, Cameron Station, Alexandria, VA 22304-6178 or the Regional Security Offices whose official mailing addresses are published as an appendix to DCAA's compilation of system notices.

Individuals must furnish name; social security number; approximate date of their association with DCAA; and geographic area in which consideration was requested for record to be located and identified.

Record access procedure:

Individuals seeking to determine whether this system of records contains information about themselves should address written inquiries to the Security Office, Defense Contract Audit Agency, Headquarters, Cameron Station, Alexandria, VA 22304-6178 or the Regional Security Offices whose official mailing addresses are published as an appendix to DCAA's compilation of system notices.

Individuals must furnish name; social security number; approximate date of their association with DCAA; and geographic area in which consideration was requested for record to be located and identified.

Contesting record procedure:

DCAA rules for accessing records and for contesting contents and appealing initial agency determinations by the individual concerned are published in DCAA Instruction 5410.10, "DCAA Privacy Act Program"; 32 CFR part 290a; or may be obtained from the system manager.

Record source categories:

Information, other than data obtained directly from individual employees, is obtained by DCAA Headquarters and Regional Office Personnel and Security Divisions, and Federal Agencies.

Exemptions claimed for the system:

None.

System name:

152.2 Personnel Security Data Files

System location:

Primary System - Security Officer, Headquarters, Defense Contract Audit Agency (DCAA), Cameron Station, Alexandria, VA 22304-6178.

Decentralized Segment - Director of Personnel, DCAA; Chiefs of Personnel Divisions and Regional Security Officers at DCAA Regional Offices. Official mailing addresses are published as an appendix to DCAA's compilation of record system notices.

Categories of individuals covered by the system:

All applicants for employment with DCAA; all DCAA employees; all military personnel assigned, detailed, or attached to DCAA; all persons hired on a contractual basis by, or serving in an advisory capacity to DCAA, who require access to classified information.

Categories of records in the system:

Section One contains copies of individual's employment applications, security investigative questionnaires, requests for, and approval or disapproval of, emergency appointment authority; requests for investigation or security clearance; interim and final security clearance certificates.

Section Two contains verification of investigations conducted to determine suitability, eligibility or qualifications for Federal civilian employment, military service, or access to classified information.

Section Three contains summaries of reports of investigation, internal Agency memorandums and correspondence furnishing analysis of results of investigations in so far as their relationship to the criteria set forth in the Executive Order 10450, in the Federal Personnel Manual and in Department of Defense and DCAA Directives and Regulations; comments and recommendations of the DCAA Central Clearance Group to the Director, DCAA, and determination by the Director, DCAA.

Authority for maintenance of the system:

10 U.S.C. 133; 50 U.S.C. 781; Executive Orders 10450, 10865, and Executive Order 12356, "National Security Information"; and DoD Directive 5105.36 which is published in 32 CFR Part 357.

Purpose(s):

To provide a basis for requesting appropriate investigations; to permit determinations on employment or retention; to authorize and record access to classified information.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The DCAA "Blanket Routine Uses" that appear at the beginning of the agency's compilation of record system notices apply to this record system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Sections One and Three are on paper records stored in file folders. Section Two is on paper records and microfiche which are stored in file folders.

Retrievability:

Folders are filed by file series then by organizational element (DCAA Headquarters or DCAA field activities) and then alphabetically by last name of individual concerned.

Safeguards:

Records are stored in locked filing cabinets after normal business hours. Records are accessible only to authorized personnel who are properly cleared and trained and who require access in connection with their official duties.

Retention and disposal:

Records pertaining to Federal employees, military personnel, and persons furnishing services to DCAA on a contract basis are destroyed upon separation of employees, transfer of military personnel from DCAA, and upon termination of the contracts for contractor personnel. Records pertaining to applicants are destroyed if an appointment to DCAA is not made.

System manager(s) and address:

Security Officer, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

Notification procedure:

Individuals seeking to determine whether information about themselves is contained in this record system should address written inquiries to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria VA 22304-6178. Telephone (703) 274-4400.

Record access procedures:

Individuals seeking access to records about themselves contained in this system should address written inquiries to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

Written requests for information should contain the full name of the individual, current address and telephone number and current business address.

For personal visits the individual should be able to provide proper identification, that is, driver's license or employing office's identification card. Visits are limited to the offices (Headquarters and the regional offices) listed in the official mailing addresses published as an appendix to DCAA's compilation of record system notices.

Contesting record procedures:

The Defense Contract Audit Agency rules for accessing records and for contesting contents and appealing initial DCAA determinations by the individual concerned are published in DCAA Instruction 5410.10; 32 CFR Part 290a; or may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178 or the system manager.

Record source categories:

Security Officer and the Director of Personnel at Headquarters, DCAA; Chiefs of Personnel Divisions, Regional Security Officers, Chiefs of Field Audit Offices at the DCAA Regional Offices and the individual concerned.

Exemptions claimed for the system:

None.

RDCAA 152.5

System name:

152.5 Notification of Security Determinations.

System location:

Primary System-Regional Security Offices, Defense Contract Audit Agency (DCAA) Regional Office and Security Control Offices, Defense Contract Audit Institute (DCAI), 4075 Park Avenue, Memphis, TN 38111-7492. Official mailing addresses are published as an appendix to DCAA's compilation of record system notices.

Categories of individuals covered by the system:

DCAA personnel and applicants for DCAA employment on whom specific security or suitability action must be taken.

Categories of records in the system:

Records may contain a summary of pertinent security or suitability information; the results of security determinations approved by the Director, DCAA; and directed or recommended actions to be taken at DCAA Regional Office, Field Audit Office or DCAI level.

Authority for maintenance of the system:

10 U.S.C 133; 50 U.S.C. 781; and Executive Orders 10450, 10865, and 12356.

Purpose(s):

To permit required actions of a suitability or security nature to be taken by appropriate DCAA officials.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The DCAA "Blanket Routine Uses" that appear at the beginning of the agency's compilation of record system notices apply to this record system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Folders are filed by organizational element, then alphabetically by name of person concerned.

Safeguards:

Records are accessible only to authorized personnel who are properly cleared and trained and who require access in connection with their official duties. Records are stored in locked filing cabinets after normal business hours.

Retention and disposal:

Destruction is directed individually in each case upon completion of final security or suitability actions or automatically upon nonappointment of applicants or separation of employees, whichever is earlier.

System manager(s) and address:

Security Officer, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

Notification procedure:

Individuals seeking to determine whether information about themselves is contained in this record system should address written inquiries to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178. Telephone (703) 274-4400.

Record access procedures:

Individuals seeking access to records about themselves contained in this record system should address written inquiries to Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

Written requests for information should contain the full name of the individual, current address and telephone number, and current business address.

Personal visits are limited to the offices (Headquarters and the regional offices) listed in the appendix to the agency's compilation of record system notices. For personal visits the individual should be able to provide some acceptable identification that is, driver's license or employing office's identification card.

Contesting record procedures:

The Defense Contract Audit Agency rules for accessing record and for contesting contents and appealing initial determinations by the individual concerned are published in DCAA Instruction 5410.10; 32 CFR Part 290a; or may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178 or the system manager.

Record source categories:

Results of investigations received from Federal agencies and recommendations for action from appropriate DCAA Headquarters staff elements.

Exemptions claimed for the system:

None.

RDCAA 152.6

System name:

152.6 Regional and DCAI Security Clearance Request Files

System location:

Primary System-Security Officers of Defense Contract Audit Agency (DCAA) Regional Offices and Security Control Officers, Defense Contract Audit Institute (DCAI). Official mailing addresses are published as an appendix to DCAA's compilation of record system notices.

Decentralized Segment-Security Officer, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

Categories of individuals covered by the system:

All applicants for employment with DCAA; all DCAA employees; all military personnel assigned, detailed, or attached to DCAA; all persons hired on a contractual basis by, or serving in an advisory capacity to DCAA, who require access to classified information.

Categories of records in the system:

Files contain personnel security data forms submitted by employees and applicants required in the processing of security investigations; requests for various types of security clearance actions; and requests for and approvals/disapprovals of appointments to sensitive positions.

Authority for maintenance of the system:

10 U.S.C. 133; 50 U.S.C. 781; Executive Orders 10450, 10865, and 12356; and DoD Directive 5105.36 which is published in 32 CFR Part 357.

Purpose(s):

To prepare necessary paperwork and documentation upon which to base requests to Headquarters, DCAA for appointments to sensitive positions, and for security clearance and to retain support documents pending approval of appointment and/or granting clearance.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The DCAA "Blanket Routine Uses" that appear at the beginning of the agency's compilation of record system notices apply to this record system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual concerned.

Safeguards:

Records are accessible only to those authorized personnel required to prepare, review, process, and type necessary documents. Records are stored in locked filing cabinets after normal business hours and are stored in locked rooms and buildings after normal business hours.

Retention and disposal:

These are transitory files at DCAA Regional Offices and DCAI level and are maintained only during processing and pending final action on requests. Upon receipt of final action taken on request, files are destroyed.

Segments of the system held by the Security Officer, DCAA are destroyed upon separation of the employee or after nonappointment of an applicant.

System manager(s) and address:

Security Officer, Headquarters, Defense Contract Audit Agency, Cameron

Station, Alexandria, VA 22304-6178.

Regional Security Officers, DCAA and Security Control Officers, Defense Contract Audit Institute. Official mailing addresses are published as an appendix to the Agency's compilation of record system notices.

Notification procedure:

Individuals seeking to determine whether information about themselves is contained in this record system should address written inquiries to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178. Telephone (703) 274-4400.

Record access procedures:

Individuals seeking access to records about themselves contained in this record system should address written inquiries to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

The request should contain the full name of the individual, current address and telephone number, and current business address.

Personal visits may be made but are limited to those offices (Headquarters and the regional offices) listed in DCAA's official mailing addresses published as an appendix to DCAA's compilation of record system notices. In personal visits, the individual should be able to provide acceptable identification, that is, driver's license or employing office's identification card.

Contesting record procedures:

The Defense Contract Audit Agency rules for accessing records and for contesting contents and appealing initial DCAA determinations by the individual concerned are published in DCAA Instruction 5410.10; 32 CFR Part 290a; or may be obtained from the system manager.

Record source categories:

Chiefs of Personnel Divisions and Regional Security Officers at the DCAA Regional Offices, Chiefs of DCAA Field Audit Offices, and the Manager, Defense Contract Audit Institute and the individual concerned.

Exemptions claimed for the system:

None.

RDCAA 152.7

System name:

152.7 Clearance Certification

System location:

Primary System-Regional Security Officers at Defense Contract Audit Agency (DCAA) Regional Offices; Security Control Officers at DCAA Field Audit Offices; Field Detachment and Defense Contract Audit Institute (DCAI).

Decentralized Segments-Security Officer and Director of Personnel at Headquarters, DCAA and Chiefs of Personnel Divisions at DCAA Regional Offices. Official mailing addresses are published as an appendix to DCAA's compilation of record system notices.

Categories of individuals covered by the system:

All DCAA personnel who require access to classified information.

Categories of records in the system:

Files contain interim and final security clearance certificates attesting to type of investigation conducted and degree of access to classified information which is authorized copies of security acknowledgment certificates and special access briefing statements executed by individuals upon being granted security clearances or access to special access information.

Authority for maintenance of the system:

10 U.S.C. 133; 50 U.S.C. 781; Executive Orders 10450, 10865, and Executive Order 12356, National Security Information; and DoD Directive 5105.36 which is published in 32 CFR Part 357.

Purpose(s):

To maintain a record of the security clearance status of all DCAA personnel as well as certification of briefings for access to classified information and special access information.

To DoD contractors to furnish notice of security clearance and access authorization of DCAA employees.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The DCAA "Blanket Routine Uses" that appear at the beginning of the agency's compilation of record system notices apply to this record system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Retrieved by last name of individual concerned.

Safeguards:

Records are stored in locked filing cabinets after normal business hours and stored in locked rooms or buildings. Records are accessible only to those authorized personnel required to act upon a request for access to classified defense information.

Retention and disposal:

Files pertaining to Federal employees, military personnel, and persons furnishing services to DCAA on a contract basis are destroyed upon separation or transfer of employees or military personnel and upon termination of contractor personnel.

Files of individuals transferring within DCAA are transferred to security control office of gaining element for maintenance.

System manager(s) and address:

Security Officer, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178 and Regional Security Officers in DCAA Regional Offices. Official mailing addresses are published as an appendix to DCAA's compilation of record system notices.

Notification procedure:

Individuals seeking to determine whether information about themselves is contained in this record system should address written inquiries to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178. Telephone (703) 274-4400.

Record access procedures:

Individuals seeking access to records about themselves contained in this record system should address written inquiries to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

The request should contain the full name of the individual, current address and telephone number, and current business address.

Personal visits may be made but are limited to those offices (Headquarters and the regional offices) listed in DCAA's official mailing addresses published as an appendix to DCAA's compilation of record system notices. In personal visits, the individual should be able to provide acceptable identification, that is, driver's license or employing office's identification card.

Contesting record procedures:

The Defense Contract Audit Agency rules for accessing records and for contesting contents and appealing initial DCAA determinations by the individual concerned are published in DCAA Instruction 5410.10; 32 CFR Part 290a; or may be obtained from the system manager.

Record source categories:

Chiefs of Personnel Divisions and Regional Security Officers at the DCAA Regional Offices; Chiefs of DCAA Field Audit Offices; the Manager, Defense Contract Audit Institute and the individual.

Exemptions claimed for the system:

None.

RDCAA 152.17

System name:

152.17 Security Status Master List.

System location:

Security Office, Headquarters, Defense Contact Audit Agency (DCAA), Cameron Station, Alexandria, VA 22304-6178.

Categories of individuals covered by the system:

All applicants for employment with DCAA; all military personnel assigned, detailed or attached to DCAA; all persons hired on a contractual basis by or serving in an advisory capacity to DCAA who require access to classified information.

Categories of records in the system:

Record contains type of investigation, date completed, file number, agency which conducted investigation, investigation, security clearance data information, name, Social Security Number, date and place of birth, organizational assignment, dates interim and final clearance issued, position sensitivity and related data.

Authority for maintenance of the system:

10 U.S.C. 133; 50 U.S.C. 781; Executive Orders 10450, 10865, and Executive Order 12356, National Security Information; and DoD Directive 5105.36 which is published in 32 CFR Part 357.

Purpose(s):

To maintain a ready reference of security clearances on DCAA personnel, to include investigative data and position sensitivity.

To provide security clearance data to DoD contractors and other Federal agencies on DCAA employees assigned to or visiting a contractor facility or visiting or applying for employment with another Federal agency.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The DCAA "Blanket Routine Uses" that appear at the beginning of the agency's compilation of record system notices apply to this record system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Stored in a card file.

Retrievability:

Cards are filed alphabetically by last name of individual concerned for all DCAA regional personnel. Separate file maintained alphabetically by last name of individual concerned for DCAA Headquarters elements.

Safeguards:

Cards are accessible only to those authorized personnel required to prepare, process, and type necessary documents; and answer authorized inquiries for information contained therein. Cards are stored in locked filing cabinets after normal business hours and are stored in a locked room and building which is protected by a guard force system after normal business hours.

Retention and disposal:

These cards are destroyed two years after an individual is separated from the Agency.

System manager(s) and address:

Security Officer, Headquarters, DCAA, Cameron Station, Alexandria, VA 22304-6178.

Notification procedure:

Individuals seeking to determine whether information about themselves is contained in this record system should address written inquiries to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178. Telephone (703) 274-4400.

Record access procedures:

Individuals seeking access to records about themselves contained in this record system should address written inquiries to Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

Written requests for information should contain the full name of the individual, current address and telephone number, and current business address.

Personal visits are limited to those offices (Headquarters and the regional offices) listed in the appendix to the Agency's compilation of record system notices. For personal visits, the individual should be able to provide some acceptable identification, that is driver's license or employing office's identification card.

Contesting record procedures:

The Defense Contract Audit Agency rules for accessing records and for contesting contents and appealing initial Agency determinations by the individual concerned are published in DCAA Instruction 5410.10; 32 CFR Part 290a; or may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178 or the system manager.

Record source categories:

Security Officer, Headquarters, DCAA; Director of Personnel, Headquarters, DCAA; Chiefs of Personnel Divisions, DCAA regional offices; Regional Security Officers, DCAA Regional Offices; Chiefs of DCAA Field Audit Offices; Manager, DCAI; the individual concerned; and reports of investigation conducted by Federal investigative agencies.

Exemptions claimed for the system:

None.

RDCAA 152.22

System name:

152.22 Classified Information Nondisclosure Agreement (NdA)

System location:

Agency Security Officer, Headquarters, Defense Contract Audit Agency (DCAA), Cameron Station, Alexandria, VA 22304-6178.

Categories of individuals covered by the system:

All employees of DCAA assigned to sensitive positions who are authorized access to classified information.

Categories of records in the system:

File contains originals of SF 189 and SF 312, Classified Information Nondisclosure Agreements signed by DCAA employees.

Authority for maintenance of the system:

10 U.S.C. 133; 50 U.S.C. 781; Executive Orders 10450, 10865, 12036, 12065 and Executive Order 12356, National Security Information; and DoD Directive 5105.36 which is published in 32 CFR Part 357.

Purpose(s):

To maintain a record of signed Standard Forms 312 and 189 which are used as a condition precedent to authorizing individuals access to classified information. The use of the form will enhance the protection of national security information and/or will reduce the costs associated with its protection.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The DCAA "Blanket Routine Uses" that appear at the beginning of the agency's compilation of record system notices apply to this record system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetically by surname of individual.

Safeguards:

Records are stored in locked filing cabinets after normal business hours. Records are accessible only by authorized personnel who are properly cleared and trained and who require access in connection with their official duties.

Retention and disposal:

Records are retained for 50 years from date of signature and then destroyed.

System manager(s) and address:

Agency Security Officer, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

Notification procedure:

Individuals seeking to determine whether information about themselves is contained in this record system should address written inquiries to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178. Telephone (703) 274-4400.

Record access procedures:

Individuals seeking access to records about themselves contained in this record system should address written inquiries to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

The request should contain the full name of the individual, current address and telephone number, and current business address.

Personal visits may be made but are limited to the offices (Headquarters and the regional offices) listed in DCAA's official mailing addresses published as an appendix to DCAA's compilation of record system notices. In personal visits the individual should be able to provide acceptable identification, that is driver's license or employing office's identification card.

Contesting record procedures:

The Defense Contract Audit Agency rules for accessing records and for contesting contents and appealing initial DCAA determinations by the individual concerned are published in DCAA Instruction 5410.10; 32 CFR Part 290a; or may be obtained from the system manager.

Record source categories:

Agency Security Officer, Headquarters, DCAA and the individual.

Exemptions claimed for the system:

None.

RDCAA 160.5

System name:

160.5 Travel Orders

System location:

Headquarters, Defense Contract Audit Agency (DCAA), Cameron Station, Alexandria, VA 22304-6178; DCAA Regional Offices; and field audit offices, whose addresses may be obtained from their cognizant regional office. Official mailing addresses are published as an appendix to the agency's compilation of record system notices.

Categories of individuals covered by the system:

Any DCAA employee who performs official travel.

Categories of records in the system:

File contains individual's orders directing or authorizing official travel to include approval for transportation of automobiles, documents relating to dependents travel, bills of lading, vouchers, contracts, and any other documents pertinent to the individual's official travel.

Authority for maintenance of the system:

10 U.S.C. 133 and DoD Directive 5105.36 which is published in 32 CFR Part 357.

Purpose(s):

To document all entitlements, authorizations, and paperwork associated with an employee's official travel.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The DCAA "Blanket Routine Uses" that appear at the beginning of the agency's compilation of record system notices apply to this record system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

By fiscal year and alphabetically by surname. May be filed in numerical sequence by travel order number.

Safeguards:

Under control of office staff during duty hours. Building and/or office locked and/or guarded during nonduty hours.

Retention and disposal:

Records are destroyed after four years.

System manager(s) and address:

Assistant Director, Resources, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178; Regional Directors, DCAA; and Chiefs of Field Audit Offices, whose addresses may be obtained from their cognizant regional office. Official mailing addresses are published as an appendix to the agency's compilation of record system notices.

Notification procedure:

Individuals seeking to determine whether information about themselves is contained in this record system should address written inquiries to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178. Telephone (703) 274-4400.

Record access procedures:

Individuals seeking access to records about themselves contained in this record system should address written inquiries to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

The request should contain the full name of the individual, current address and telephone number, and current business address.

Personal visits may be made to those offices listed in DCAA's official mailing addresses published as an appendix to DCAA's compilation of record system notices. In personal visits the individual should be able to provide acceptable identification, that is, driver's license or employing office's identification card.

Contesting record procedures:

The Defense Contract Audit Agency (DCAA) rules for accessing records and for contesting contents and appealing initial DCAA determinations by the individual concerned are published in DCAA Instruction 5410.10; 32 CFR Part 290a; or may be obtained from the system manager.

Record source categories:

Administrative offices; personnel offices; servicing payroll offices; employee.

Exemptions claimed for the system:

None.

RDCAA 211.11

System name:

DCAA Drug-Free Federal Workplace Records

System location:

Primary location: Headquarters, Defense Contract Audit Agency, Personnel and Security Division, Building 4, Room 4B319, Cameron Station, Alexandria, VA 22304-6178.

Decentralized locations: DCAA regional offices; and offices of contractors who perform functions such as collection of urine specimens, laboratory analysis, and medical review of confirmed positive laboratory findings. The addresses for these locations may be obtained from the system manager.

Categories of individuals covered by the system:

DCAA Federal employees and individuals who have applied to DCAA for employment.

Categories of records in the system:

Records relating to program implementation; administration (selection, notification, testing of individuals in testing designated positions, and employee assistance); inter-service/agency support agreements (specimen collection, laboratory testing, and medical review services); training requirements; and policy guidance.

Authority for maintenance of the system:

5 U.S.C. 7301; Public Law 100-71; and Executive Orders 12564, "Drug-Free Federal Workplace" and 9397.

Purpose(s):

The system is used to maintain Drug Program Coordinator records relating to the selection, notification and testing of DCAA Federal employees, and applicants for Federal employment, for use of illegal drugs.

The records are also used by the employee's Medical Review Official; the administrator of any Employee Assistance Program in which the employee is receiving counseling or treatment or is otherwise participating; and supervisory or management officials within the employee's agency having authority to take adverse personnel action against such employee.

Routine uses of records maintained in the system, including categories of users and the purpose of such uses:

In order to comply with the provisions of 5 U.S.C. § 7301, the DCAA "Blanket Routine Uses" do not apply to this system of records.

To a court of competent jurisdiction where required by the United States Government to defend against any challenge against any adverse personnel action.

Policies and practices for storing, retrieving, accessing, retaining and disposing of records in the system:

Storage:

Paper records are maintained in file folders. Records are also maintained in automated data systems and electronically secured files.

Retrievability:

Records are retrieved by organizational levels, name of employee and/or applicant, Social Security Number, office symbol, occupational series and grade levels, or any other combination of these identifiers.

Safeguards:

Paper records are stored in locked file cabinets, and secured working environments. Automated records are protected by restricted access procedures. Access to records is strictly limited to authorized officials with a bona fide need for the records.

Retention and disposal:

Records are retained for two years and then destroyed by shredding, burning, or erasure in the case of magnetic media.

System manager(s) and address:

Drug Program Coordinator, Personnel and Security Division, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

Notification procedure:

Individuals seeking to determine whether this system of records contains information about themselves should address written inquiries to the Drug Program Coordinator, Personnel and Security Division, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178. Individuals must furnish the following information for records to be located and identified: Name; Date of birth; Social Security Number; Identification number (if known); Approximate date of record; and Geographic area in which consideration was requested.

Record access procedure:

Individuals seeking access to records about themselves contained in this system of records should address written inquiries to the Drug Program Coordinator, Personnel and Security Division, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178. Individuals must furnish the following information for records to be located and identified: Name; Date of birth; Social Security Number; Identification number (if known); Approximate date of record; and Geographic area in which consideration was requested.

Contesting record procedure:

The Defense Contract Audit Agency rules for accessing records, for contesting contents, and appealing initial determinations by the individual concerned are published in DCAA Instruction 5410.10, "DCAA Privacy Act Program"; 32 CFR Part 290a; or may be obtained from the system manager.

Record source categories:

Records are obtained from the individual to whom the record pertains, Agency employees involved in the selection and notification of individuals to be tested, laboratories that test urine specimens for the presence of illegal drugs, and supervisors, managers and other agency officials.

Exemptions claimed for the system:

None.

RDCAA 240.3

System name:

240.3 Legal Opinions.

System location:

Office of Counsel, Headquarters, Defense Contact Audit Agency (DCAA), Cameron Station, Alexandria, VA 22304-6178.

Categories of individuals covered by the system:

Any DCAA employee who files a complaint, with regard to personnel problems, that requires a legal opinion for resolution.

Categories of records in the system:

Fraud files contain interoffice memorandums, citations used in determining legal opinion, in some cases copies of investigations (FBI), copies of Agency determinations.

EEO files contain initial appeal, copies of interoffice memorandums, testimony at EEO hearings, copy of Agency determination, and citations used in determining legal opinions.

Grievance files contain correspondence relating to DCAA employees filing grievances regarding leave, removals, resignations, suspensions, disciplinary actions, travel, citations used in determining legal opinion, Agency determinations.

MSPB Appeal files contain interoffice memorandums, citations used in determining the legal position, statements of witnesses, pleadings and MSPB decisions.

Award files contain correspondence relating to DCAA employee awards, suggestion evaluations, citations used for legal determination, Agency determination.

Security Violation files contain interoffice correspondence relating to DCAA employee security violations, citations used in determinations, Agency determination.

Authority for maintenance of the system:

10 U.S.C. 133; 5 U.S.C. Chapters 43, 51, and 75 and the Civil Service Reform Act of 1978.

Purpose(s):

To maintain a historical reference for matters of legal precedence within DCAA to ensure consistency of action and the legal sufficiency of personnel actions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The DCAA "Blanket Routine Uses" that appear at the beginning of the Agency's compilation of record system notices apply to this record system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Primary filing system is by subject; within subjects, files are alphabetical by subject, corporation, name of individual.

Safeguards:

Under staff supervision during duty hours; security guards are provided during nonduty hours.

Retention and disposal:

These files are for permanent retention. They are retained in active files for five years and retired to Washington National Records Center.

System manager(s) and address:

Counsel, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

Notification procedure:

Individuals seeking to determine whether information about themselves is contained in this record system should address written inquiries to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178. Telephone (703) 274-4400.

Record access procedures:

Individuals seeking access to records about themselves contained in this record system should address written inquiries to Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

Written requests for information should contain the full name of the individual, current address and telephone number.

Personal visits are limited to those offices (Headquarters and the regional offices) listed in the appendix to the Agency's compilation of record system notices. For personal visits the individual should be able to provide some acceptable identification that is, driver's license or employing office's identification card and give some verbal information that could be verified with 'case' folder.

Contesting record procedures:

The Defense Contract Audit Agency rules for accessing records and for contesting contents and appealing initial determinations by the individual concerned are published in DCAA Instruction 5410.10; 32 CFR Part 290a; or may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178 or the system manager.

Record source categories:

Correspondence from individual's supervisor, DCAA employees, former employers, between DCAA staff members, and between DCAA and other Federal agencies.

Exemptions claimed for the system:

None.

RDCAA 240.5

System name:

240.5 Standards of Conduct, Conflict of Interest.

System location:

Office of Counsel, Headquarters, Defense Contract Audit Agency (DCAA), Cameron Station, Alexandria, VA 22304-6178.

Categories of individuals covered by the system:

Any DCAA employee who has accepted gratuities from contractors or who has business, professional or financial interests that would indicate a conflict between their private interests and those related to their duties and responsibilities as DCAA personnel. Any DCAA employee who is a member or officer of an organization that is incompatible with their official Government position, using public office for private gain, or affecting adversely the confidence of the public in the integrity of the Government.

Categories of records in the system:

Office of Counsel-Files contain documents and background material on any apparent conflict of interest or acceptance of gratuities by DCAA personnel. Correspondence may involve interoffice memorandums, correspondence between former DCAA employees and Headquarters staff members, citations used in legal determinations and Agency determinations.

Authority for maintenance of the system:

10 U.S.C. 133.

Purpose(s):

To provide a historical reference file of cases that are of precedential value to ensure equality of treatment of individuals in like circumstances.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The DCAA "Blanket Routine Uses" that appear at the beginning of the agency's compilation of record system notices apply to this record system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Primary filing system is by subject, within subject, files are alphabetical by subject, corporation, name of individual.

Safeguards:

Under staff supervision during duty hours; buildings have security guards during nonduty hours.

Retention and disposal:

These files are for permanent retention. They are retained in active files for five years and then retired to Washington National Records Center.

System manager(s) and address:

Counsel, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

Notification procedure:

Individuals seeking to determine whether information about themselves is contained in this record system should address written inquiries to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178. Telephone (703) 274-4400.

Record access procedures:

Individuals seeking access to records about themselves contained in this record system should address written inquiries to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

The request should contain the full name of the individual, current address and telephone number.

Personal visits may be made to the above address. In personal visits the individual should be able to provide acceptable identification that is, driver's license or employing office's identification card, and give some verbal information that can be verified with 'case' folder.

Contesting record procedures:

The Defense Contract Audit Agency (DCAA) rules for accessing records and for contesting contents and appealing initial DCAA determinations by the individual concerned are published in DCAA Instruction 5410.10; 32 CFR Part 290a; or may be obtained from the system manager.

Record source categories:

Correspondence from individual's supervisor, DCAA employees, former employees, between DCAA staff members, and between DCAA and other Federal agencies.

Exemptions claimed for the system:

None.

RDCAA 358.3

System name:

358.3 Grievance and Appeal Files

System location:

Grievant's servicing personnel office in Headquarters or Defense Contract Audit Agency (DCAA) Regional Offices. Official mailing addresses are published as an appendix to the agency's compilation of record system notices.

Categories of individuals covered by the system:

Employees or former employees who have filed formal grievances that may be adjudicated under either Chapter 58, DCAA Personnel Manual or a negotiated grievance procedure.

Categories of records in the system:

The written grievance; assignment of examiner; or selection of an arbitrator or referee; statements of witnesses; written summary of interviews; written summary of group meetings; transcript of hearing if one held; correspondence relating to the grievance and conduct of the inquiry; exhibits; evidence; transmittal; memorandums and letters; decision.

Authority for maintenance of the system:

10 U.S.C. 133 and DoD Directive 5105.36 which is published in 32 CFR Part 357.

Purpose(s):

To record the grievance, the nature and scope of inquiry into the matter being grieved, and the treatment accorded the matter by management.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To arbitrators, referees, or other third party hearing officers selected by management and/or the parties to the grievance to serve as fact finders or deciders of the matter grieved.

The DCAA "Blanket Routine Uses" that appear at the beginning of the agency's compilation of record system notices apply to this record system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Grievance files are filed by subject matter, contract clause, or by name alphabetically.

Safeguards:

During nonduty hours the personnel office and/or filing cabinet is locked. Grievance files are under the control of the personnel office staff during duty hours.

Retention and disposal:

Files are destroyed one year after the grievance has been decided or after the transfer or separation of the employee, whichever is shorter.

System manager(s) and address:

Each servicing personnel officer in Headquarters or DCAA Regional Offices. Official mailing addresses are published as an appendix to the agency's compilation of record system notices.

Notification procedure:

Individuals seeking to determine whether information about themselves is contained in this record system should address written inquiries to the personnel office in the region in which the grievance originated. Official mailing addresses are published as an appendix to the Agency's compilation of record system notices.

Written requests should contain individual's full name, current address, telephone number and office of assignment.

Individuals may visit the personnel office of the region in which the grievance was filed/originated. For personal visits, individual must furnish positive identification.

Record access procedures:

Individuals may obtain information on access to records by communicating in writing or personally with the servicing personnel officer in DCAA Headquarters or DCAA regional offices. Official mailing addresses are published as an appendix to the Agency's compilation of record system notices.

The request should contain the full name of the individual, current address and telephone number.

Personal visits may be made to the servicing personnel officer in Headquarters or DCAA regional offices or the system manager. Official mailing addresses are published as an appendix to the Agency's compilation of record system notices.

Contesting record procedures:

The Defense Contract Audit Agency rules for accessing records and for contesting contents and appealing initial DCAA determinations by the individual concerned are published in DCAA Instruction 5410.10; 32 CFR Part 290a; or may be obtained from the system manager.

Record source categories:

The grievant; witnesses; exhibits furnished in evidence by grievant and witnesses; grievance examiner; and persons interviewed by the grievance examiner; deciding official arbitrator, referee, or other third party fact finder or decider.

Exemptions claimed for the system:

None.

RDCAA 367.5

System name:

367.5 Employee Assistance Program (EAP) Counseling Records.

System location:

Personnel and Security Division (CPP), Headquarters, Defense Contract Audit Agency (DCAA), Building 4, Room 4B319, Cameron Station, Alexandria, VA 22304-6178

DCAA regional servicing personnel offices; and offices of EAP contractors who perform employee assistance and counseling services. Addresses can be found in the appendix to DCAA's compilation of system of records.

Categories of individuals covered by the system:

DCAA Federal employees assigned to DCAA activities who are referred by management for, or voluntarily request, employee assistance counseling, referral, and rehabilitation.

Categories of records in the system:

Records relating to patients which are generated in the course of professional counseling, e.g., records on the patient's condition, status, progress and prognosis of personal, emotional, alcohol or drug dependency problems, including admitted or urinalysis-detected illegal drug abuse.

Authority for maintenance of the system:

5 U.S.C. 43; 5 U.S.C. 310; 5 U.S.C. 7301; 10 U.S.C. 3012; 42 U.S.C. 290dd-3 and 290ee-3, Pub. L. 100-71; Executive Order 12564; and Executive Order 9397.

Purpose(s):

The system is established to maintain records relating to the counselor's observations concerning patient's condition, current status, progress, prognosis and other relevant treatment information regarding patients in an employee assistance treatment program facility.

Routine uses of records maintained in the system, including categories of users and the purpose of such uses:

In order to comply with provisions of 5 U.S.C. 7301 and 42 U.S.C. 290dd-3 and 290ee-3, the Office of the Secretary of Defense "Blanket Routine Uses" do not apply to this system of records.

Records in this system may not be disclosed without prior written consent of such patient, unless the disclosure would be:

(a) To medical personnel to the extent necessary to meet a bona fide medical emergency;

(b) To qualified personnel for the purpose of conducting scientific research, management audits, financial audits, or program evaluation, but such personnel may not identify, directly or indirectly, any individual patient in any report of such research, audit, or evaluating, or otherwise disclose patient identities in any manner; and

(c) If authorized by an appropriate order of a court of competent jurisdiction granted after application showing good cause therefore.

Policies and practices for storing, retrieving, accessing, retaining and disposing of records in the system:

Storage:

Records are maintained and stored in automated data systems, secured filing cabinets, and electronic secured files. Extracts of treatment records are also entered into electronic database on microcomputers.

Retrievability:

Records are retrieved manual and automatically by patient's last name, client's case number, Social Security Number, organization, office symbol and counseling area offices or any other combination of these identifiers.

Safeguards:

Records are stored in locked filing cabinets, and secured working environments. Automated records are protected by restricted access procedures, e.g., password-protected coding system. Access to records is strictly limited to Agency or contractor officials with a bona fide need for the records. Only individuals on a need-to-know basis and trained in the handling of information protected by the Privacy Act have access to the system. All patient records are maintained and used with the highest regard for patient privacy. Safeguarding procedures are in accordance with the Privacy Act and required in Employee Assistance Program contractual service agreements.

Retention and disposal:

Patient records are destroyed three years after termination of counseling and then destroyed by shredding, burning, or pulping. Electronic records are purged of identifying data five years after termination of counseling. Aggregate data without personal identifiers is maintained for management/statistical reporting purposes until no longer required.

System manager(s) and address:

Employee Assistance Program Administrator, Personnel and Security Division, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

Notification procedure:

Individuals seeking to determine whether this system of records contains information about themselves should address written inquiries to the Employee Assistance Program Administrator, Personnel and Security Division (CPP), Headquarters, Defense Contract Audit Agency (DCAA), Cameron Station, Alexandria, VA 22304-6178.

Individuals must furnish the following for their records to be located and identified: Name, date of birth, social security number, identification number (if known), approximate date of record, geographic area in which consideration was requested.

Record access procedure:

Individuals seeking access to records about themselves contained in this system of records should contact Employee Assistance Program Administrator, Personnel and Security Division (CPP), Headquarters, Defense Contract Audit Agency (DCAA), Cameron Station, Alexandria, VA 22304-6178.

Individuals must furnish the following for their records to be located and identified: Name, date of birth, social security number, approximate date of record, geographic area in which consideration was requested.

Contesting record procedure:

The Defense Contract Audit Agency (DCAA) rules for accessing records and for contesting contents and appealing initial DCAA determinations by the individual concerned are published in DCAA Instruction 5410.10; 32 CFR Part 290a; or may be obtained from the system manager.

Record source categories:

The patient to whom the records pertain, Employee Assistance Program counselors, supervisory personnel, co-workers; other agency personnel, outside practitioners; or private individuals to include family members of the patient.

Exemptions claimed for the system:

None.

RDCAA 371.5

System name:

371.5 Locator Records

System location:

Personnel Officer, Civilian Personnel Office, Headquarters, Defense Contract Audit Agency (DCAA), Cameron Station, Alexandria, VA 22304-6178 and DCAA Regional Offices. Official mailing addresses are published as an appendix to the agency's compilation of record system notices.

System is also maintained at DCAA Field Audit Offices. Addresses for the field audit offices may be obtained from the cognizant regional office.

Categories of individuals covered by the system:

All civilian employees of DCAA.

Categories of records in the system:

Employee's name, office room number, office telephone number, office symbol, home address, home telephone number, date prepared, spouse's name.

Authority for maintenance of the system:

10 U.S.C. 133 and DoD Directive 5105.36 which is published in 32 CFR Part 357.

Purpose(s):

To provide a ready reference of employee home address and telephone number for business and protocol purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The DCAA "Blanket Routine Uses" that appear at the beginning of the agency's compilation of record system notices apply to this record system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

3x5 cards stored in an index card box.

Retrievability:

Filed by name.

Safeguards:

Under control of office staff during duty hours. Building and/or office locked and/or guarded during nonduty hours.

Retention and disposal:

Retained until separation of employee, then destroyed.

System manager(s) and address:

Personnel Officer, Civilian Personnel Office, Headquarters, Defense Contact Audit Agency, Cameron Station, Alexandria, VA 22304-6178 and Personnel Officers at DCAA Regional Offices. Official mailing addresses are published as an appendix to the agency's compilation of record system notices.

Managers of DCAA Field Audit Offices. Addresses for the Field Audit Offices may be obtained from the cognizant regional office.

Notification procedure:

Individuals seeking to determine whether information about themselves is contained in record system should address written inquiries to the Personnel Officer, Civilian Personnel Office, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178 and Personnel Officers at DCAA Regional Offices. Official mailing addresses are published as an appendix to the Agency's compilation of record system notices.

Managers of DCAA Field Audit Offices. Addresses for the Field Audit Offices may be obtained from the cognizant regional office.

Written requests for information must include individual's full name, current address, telephone number and office of assignment.

Personal visits may be made to the offices identified above. Individual must furnish positive identification.

Record access procedures:

Individuals seeking access to information about themselves is contained in this record system should address written inquiries to the Personnel Officer, Civilian Personnel Office, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178 and Personnel Officers at DCAA Regional Offices. Official mailing addresses are published as an appendix to the Agency's compilation of record system notices.

Managers of DCAA Field Audit Offices. Addresses for the field audit offices may be obtained from the cognizant regional office.

Written requests for information must include individual's full name, current address, telephone number and office of assignment.

Personal visits may be made to the offices identified above. Individual must furnish positive identification.

Contesting record procedures:

The Defense Contract Audit Agency rules for accessing records and for contesting contents and appealing initial DCAA determinations by the individual concerned are published in DCAA Instruction 5410.10; 32 CFR Part 290a; or may be obtained from the system manager.

Record source categories:

Employee.

Exemptions claimed for the system:

None.

RDCAA 440.2

System name:

440.2 Time and Attendance Reports.

System location:

Primary System-Management Division, Headquarters, Defense Contract Audit Agency (DCAA), Cameron Station, Alexandria, VA 22304-6178.

Decentralized Segments-DCAA Regional Offices and Field Audit Offices. Official mailing addresses are published as an appendix to the DCAA's compilation of record system notices.

Categories of individuals covered by the system:

All civilian employees of the Defense Contract Audit Agency.

Categories of records in the system:

File contains a copy of individual's time and attendance report and other papers necessary for the submission of time and attendance reports and collecting of pay from the non-DCAA payroll office.

Authority for maintenance of the system:

5 U.S.C. 301; 10 U.S.C. 133; and 31 U.S.C. 3512.

Purpose(s):

To record the number of hours an employee works each day and the amount of sick and/or annual leave used. Supervisors review and certify accuracy of reports which are furnished to the appropriate Finance and Accounting office within the DoD for payroll purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The DCAA "Blanket Routine Uses" that appear at the beginning of the agency's compilation of record system notices apply to this system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of employee.

Safeguards:

Files are under staff supervision during duty hours; buildings are locked and/or guarded by security guards during non-duty hours.

Retention and disposal:

These records are destroyed six months after end of pay period to which applicable.

System manager(s) and address:

Assistant Director, Resources, Headquarters, DCAA and the Regional Directors, DCAA and Chiefs of Field Audit Offices. Official mailing addresses are published as an appendix to the agency's compilation of record system notices.

Notification procedure:

Individuals seeking to determine whether information about themselves is contained in this record system should address written inquiries to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178. Telephone (703) 274-4400.

Record access procedures:

Individuals seeking access to records about themselves contained in this record system should address written inquiries to Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

Written requests for information should contain the full name, address, telephone number of the individual and the employee payroll number.

Personal visits are limited to those offices (Headquarters and the regional offices) listed in the appendix to the Agency's compilation of record system notices. For personal visits the individual should be able to provide some acceptable identification that is, driver's license or employee identification card.

Contesting record procedures:

The Defense Contract Audit Agency rules for accessing record and for contesting contents and appealing initial determinations by the individual concerned are published in DCAA Instruction 5410.10; 32 CFR Part 290a; or may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178 or the system manager.

Record source categories:

Time and attendance reports are completed by the time and attendance clerk based on information provided by the individual employee.

Exemptions claimed for the system:

None.

RDCAA 590.8

System name:

590.8 Field Audit Office Management Information System (FMIS)

System location:

Network Operations Branch, Workload and Trends Analysis Division, Headquarters, Defense Contract Audit Agency; DCAA regional offices; and DCAA field audit offices. Official mailing addresses are published as an appendix to DCAA's compilation of systems of record notices.

Categories of individuals covered by the system:

DCAA employees and contractors.

Categories of records in the system:

Records relating to audit work performed in terms of hours expended by individual employees, dollar amounts audited, exceptions reported, and net savings to the government as a result of those exceptions; records containing contractor and contract information; records containing requirements and program plan information; and records containing social security numbers, pay grade and (optionally) address information.

Authority for maintenance of the system:

5 U.S.C. 301 and E.O. 9397.

Purpose(s):

To provide managers and supervisors in field audit offices with timely, on-line, information regarding audit requirements, programs, and performance; and serve as the source of information to be entered and consolidated in the Agency Management Information System (AMIS).

Routine uses of records maintained in the system, including categories of users and the purpose of such uses:

The "Blanket Routine Uses" that appear at the beginning of DCAA's compilation of systems of records apply to this system.

Policies and practices for storing, retrieving, accessing, retaining and disposing of records in the system:

Storage:

Records are maintained in automated data systems.

Retrievability:

Records are retrieved by organizational levels, name of employee, social security number, office symbol, audit activity codes, or any other combination of these identifiers.

Safeguards:

Automated records are protected by restricted access procedures. Access to records is strictly limited to authorized officials with a bona fide need for the records.

Retention and disposal:

Records are retained for two to five years and then destroyed by erasure.

System manager(s) and address:

Chief, Network Operations Branch, Workload and Trends Analysis Division, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, Virginia 22304-6178.

Notification procedure:

Individuals seeking to determine whether this system of records contains information about themselves should address written inquiries to the Chief, Network Operations Branch, Workload and Trends Analysis Division, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, Virginia

22304-6178.

Individuals must furnish name; social security number; approximate date of record; and geographic area in which consideration was requested for record to be located and identified. Official mailing addresses are published as an appendix to the DCAA's compilation of systems notices.

Record access procedure:

Individuals seeking access to records about themselves contained in this system of records should address written inquiries to the Chief, Network Operations Branch, Workload and Trends Analysis Division, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, Virginia 22304-6178. Official mailing addresses are published as an appendix to the DCAA's compilation of systems notices.

Individuals must furnish name; social security number; approximate date of record; and geographic area in which consideration was requested for record to be located and identified.

Contesting record procedure:

DCAA rules for accessing records and for contesting contents and appealing initial agency determinations by the individual concerned are published in DCAA Instruction 5410.10, "DCAA Privacy Act Program;" 32 CFR Part 290a; or may be obtained from the system manager.

Record source categories:

Information, other than data directly related to individual employees, is obtained by field audit office supervisors from audit reports and working papers.

Exemptions claimed for the system:

None.

RDCAA 590.9

System name:

590.9 DCAA Automated Personnel Inventory System (APIS).

System location:

Office, Director of Personnel, and the Field Administrative Support Organization Systems Operations Section, Headquarters, Defense Contract Audit Agency (DCAA), Cameron Station, Alexandria, VA, 22304-6178, and DCAA Regional Offices. Official mailing addresses are published as an appendix to the Agency's compilation of record system notices.

Compuserve, Inc., 500 Arlington Center Boulevard, Columbus, OH 43220, which maintains systems data under contract with the General Services Administration.

Categories of individuals covered by the system:

All current civilian employees of DCAA, and former employees who were on DCAA rolls any time after January 1, 1977.

Categories of records in the system:

Current and historical records contain the following types of data: Data related to positions employee has occupied in DCAA such as grade, occupational series, title, organizational location, salary and step, competitive area and level, geographical location, supervisory designation, financial reporting requirements, and bargaining unit status; data related to employees status and tenure in the Federal civil service including veterans preference, competitive status, service computation date, tenure group; data personal to the employee such as birth date, physical and mental handicap code, and minority group designation code and sex; benefits data such as enrollment in Federal employee life and health insurance and retirement programs; education and training data such as educational level, professional certifications, training accomplishment and requirements; career management data such as performance evaluation and promotion evaluation; and awards and recognition data such as performance and suggestion awards received.

Authority for maintenance of the system:

10 U.S.C. 133; Executive Order 9397; and DoD Directive 5105.36 which is published in 32 CFR Part 357.

Purpose(s):

To collect, store and retrieve information to meet personnel and manpower management information requirements in support of program operations, evaluation and analysis activities, and for satisfying external and internal reporting requirements.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Designated automated data processing vendors with whom DCAA may contract are authorized to maintain and enhance data and computer operating systems necessary for DCAA personnel to process data and produce required outputs. Vendors neither obtain output from the system nor access the stored data for other than validated, approved test procedures.

The DCAA "Blanket Routine Uses" that appear at the beginning of the agency's compilation of record system notices apply to this record system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Input paper documents are stored in file folders and/or file cabinets. Information converted to automated form for storage in system is stored on magnetic tape and/or disks. Output reports on computer printout paper are stored in file cabinets, specialized file containers, or library shelving. Individual employee output reports are filed in folders retained with official personnel records and/or employee performance.

Retrievability:

Records and/or reports pertaining to an individual employee or applicant are retrieved by social security number.

Safeguards:

Access to computerized data requires knowledge and use of series of system identification codes and passwords which must be entered in proper sequence. Access to computerized data is restricted to systems analysts and programmers assigned to Headquarters, DCAA and personnel office employees and EEO specialists in Headquarters and regional offices. Regional personnel can access system only for the purpose of obtaining output reports.

Output reports are retained in personnel offices or other authorized Headquarters, regional, or field audit offices. Access to reports is controlled by assigned personnel during duty hours. After duty hours, reports are retained in locked offices or in buildings controlled by security personnel or alarm systems.

Retention and disposal:

Records in the data base are permanent; however, paper input documents and output printouts and reports are retained for reference purposes only until superseded or no longer required.

System manager(s) and address:

Director of Personnel, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

Notification procedure:

Individuals seeking to determine whether information about themselves is contained in this record system should address written inquiries to the Director of Personnel, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

Written requests for information must include individual's full name, current address, telephone number and office of assignment.

Personal visits may be made to the office identified above. Individual must furnish positive identification.

Record access procedures:

Individuals seeking access to information about themselves contained in this record system should address written inquiries to the Director of Personnel, Headquarters, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22304-6178.

Written requests for information must include individual's full name, current address, telephone number and office of assignment.

Personal visits may be made to the office identified above. Individual must furnish positive identification.

Contesting record procedures:

The Defense Contract Audit Agency rules for accessing records and for contesting contents and appealing initial DCAA determinations by the individual concerned are published in DCAA Instruction 5410.10; 32 CFR Part 290a; or may be obtained from the system manager.

Record source categories:

Basic personnel and position information is obtained from documents prepared by personnel offices in accordance with regulations prescribed by the Office of

Personnel Management.

Performance evaluation and promotion appraisal information are obtained from documents completed by employee's supervisors.

Training data are obtained from employee's supervisors, Agency training facilities, and documents prepared by employee's personnel office.

All other information is obtained from questionnaires or other documents completed by employee.

Exemptions claimed for the system:

None.

OPM/GOVT-1

System name

General Personnel Records.

System location:

Records on current Federal employees are located at the Office of Personnel Management and with Personnel Officers or other designated offices of the local installation of the department or agency that currently employs the individual. When agencies determine that duplicates of these records need to be located in a second office, e.g., an administrative office closer to where the employee actually works, such copies are covered by this system. Former Federal employees' Official Personnel Folders (OPF) are located at the National Personnel Records Center, National Archives and Records Administration, 111 Winnebago Street, St. Louis, Missouri 63118. Records not considered long-term records, but which may be retained in the OPF or elsewhere during employment, and which are also included in this system, may be retained by agencies for a period of time after the employee leaves service.

The use of the phrase "long-term" to describe those records filed on the right-hand-side of OPFs is used throughout this notice because these records are not actually permanently retained. The term "temporary" is used when referencing short-term records filed on the left-hand-side of OPFs and all other records not filed in the OPFs, but covered by this notice.

Note: The records in this system are "owned" by the Office of Personnel Management (Office) and should be provided to those Office employees who have an official need or use for those records. Therefore, if an employing agency is asked by an Office employee to access the records with this system, such a request should be honored.

Categories of individuals covered by the system:

Current and former Federal employees are defined in 5 U.S.C. 2105.

Categories of records in the system:

All categories of records may include identifying information, such as name(s), date of birth, home address, mailing address, social security number, and home telephone. This system includes contents of the OPF as specified in Federal Personnel Manual Supplement 293-31. Records in this system are--

a. Records reflecting work experience, educational level achieved, and specialized education or training obtained outside of Federal service.

b. Records reflecting Federal service and documenting work experience and specialized education or training received while employed. Such records contain information about past and present positions held; grades; salaries; duty station locations; and notices of all personnel actions, such as appointments, transfers, reassignments, details, promotions, demotions, reduction-in force, resignations, separations, suspensions, Office approval of disability retirement applications, retirement, and removals.

c. Records on enrollment or declination of enrollment in the Federal Employees' Group Life Insurance Program and Federal Employee Health Benefit Program, as well as forms showing designation of beneficiary.

d. Records relating to an Intergovernmental Personnel Act assignment or Federal-private sector exchange program.

e. Records relating to participation in an agency Federal Executive or SES Candidate Development Program.

f. Records relating to Government-sponsored training or participation in an agency's Upward Mobility Program or other personnel program designed to broaden an employee's work experiences and for purposes of advancement (e.g., an administrative intern program).

g. Records contained in the Central Personnel Data File (CPDF) maintained by OPM and exact substantive representations in agency manual or automated personnel information systems. These data elements include many of the above records along with handicap and race and national origin codes. A definitive list of CPDF data elements is contained in Federal Personnel Manual Supplement 292-1.

h. Records on the Senior Executive Service (SES) maintained by agencies for use in making decisions affecting incumbents of these positions, e.g., relating to sabbatical leave programs, training, reassignments, and details, that are perhaps unique to the SES and that may be filed in the employee's OPF. These records may also serve as the basis for reports submitted to OPM for implementing OPM's oversight responsibilities concerning the SES.

i. Records on an employee's activities on behalf of the recognized labor organization representing agency employees, including accounting of official time spent and documentation in support of per diem and travel expenses.

Note: Alternatively, such records may be retained by an agency payroll office and thus be subject to the agency's internal Privacy Act system for payroll records. The OPM/GOVT-1 system does not cover general agency payroll records.

j. To the extent that the records listed here are also maintained in an agency automated personnel or microform records system, those versions of these records are considered to be covered by this system notice. Any additional copies of these records (excluding performance appraisal and conduct-related documents maintained by first line supervisors and managers covered by the OPM/GOVT-2 system) maintained by agencies at field/administrative offices remote from where the original records exist are considered part of this system.

Note: It is not the intent of OPM to limit this system of records only to those records physically within the OPF. Records may be filed in other folders located in offices other than where the OPF is located. Further, as indicated in the records location section, some of these records may be duplicated for maintenance at a site closer to where the employee works (e.g., in an administrative office or supervisors work folder) and still be covered by this system.

k. Records relating to designations for lump sum death benefits.

l. Records relating to classified information non-disclosure agreements.

Authority for maintenance of the system:

Authority for maintenance of the system includes the following with any revisions or amendments: 5 U.S.C. 1302, 2951, 3301, 3372, 4118, 8347, and Executive Orders 9397, 9830, and 12107.

Purposes:

The OPF and other general personnel records files are the official repository of the records, reports of personnel actions, and the documents and papers required in connection with these actions effected during an employee's Federal service. The personnel action reports and other documents, some of which are filed as long-term records in the OPF, give legal force and effect to personnel transactions and establish employee rights and benefits under pertinent laws and regulations governing Federal employment.

These files and records are maintained by OPM and the agencies for the

Office in accordance with Office regulations and instructions. They provide the basic source of factual data about a person's Federal employment while in the service and after his or her separation. Records in this system have various uses by agency personnel offices, including screening qualifications of employees; determining status, eligibility, and employee's rights and benefits under pertinent laws and regulations governing Federal employment; computing length of service; and other information needed to provide personnel services. These records and their automated or microform equivalents may also be used to locate individuals for personnel research.

Temporary documents on the left side of the OPF may pertain to a formal action but do not constitute a record of it nor make a substantial contribution to the employee's long-term record.

Routine uses of records maintained in the systems, including categories of users and the purposes of such uses:

These records and information in these records may be used--

a. To disclose information to Government training facilities (Federal, State, and local) and to non-Government training facilities (private vendors of training courses or programs, private schools, etc.) for training purposes.

b. To disclose information to education institutions on appointment of a recent graduate to a position in the Federal service and to provide college and university officials with information about their students working under Cooperative Education, Volunteer Service, or other similar programs necessary to a student's obtaining credit for the experience gained.

c. To disclose information to officials of foreign governments for clearance before a Federal employee is assigned to that country.

d. To disclose information to the Department of Labor, Veterans Administration, Social Security Administration, Department of Defense, or any other Federal agencies that have special civilian employee retirement programs; or to a national, State, county, municipal, or other publicly recognized charitable or income security, administration agency (e.g., State unemployment compensation agencies), when necessary to adjudicate a claim under the retirement, insurance, unemployment, or health benefits programs of the Office or an agency cited above, or to any agency to conduct an analytical study or audit of benefits being paid under such programs.

e. To disclose to the Office of Federal Employees Group Life Insurance, information necessary to verify election, declination, or waiver of regular and/or optional life insurance coverage, eligibility for payment of a claim for life insurance, or to TBS election change and designation of beneficiary.

f. To disclose, to health insurance carriers contracting with the Office to provide a health benefits plan under the Federal Employees Health Benefits Programs, information necessary to identify enrollment in a plan, to verify eligibility for payment of a claim for health benefits, or to carry out the coordination or audit of benefit provisions of such contracts.

g. To disclose information to a Federal, State, or local agency for determination of an individual's entitlement to benefits in connection with Federal Housing Administration programs.

h. To consider and select employees for incentive awards and other honors and to publicize those granted. This may include disclosure to other public and private organizations, including news media, which grant or publicize employee recognition.

i. To consider employees for recognition through quality-step increases, and to publicize those granted. This may include disclosure to other public and private organizations, including news media, which grant or publicize employee recognition.

j. To disclose information to officials of labor organizations recognized under 5 U.S.C. chapter 71 when relevant and necessary to their duties of exclusive representation concerning personnel policies, practices, and matters affecting working conditions.

k. To disclose pertinent information to the appropriate Federal, State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, when the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation.

l. To disclose information to any source from which additional information is requested (to the extent necessary to identify the individual, inform the source of the purpose(s) of the request, and to identify the type of information requested), when necessary to obtain information relevant to an agency decision to hire or retain an employee, issue a security clearance, conduct a security or suitability investigation of an individual, classify jobs, let a contract, or issue a license, grant, or other benefits.

m. To disclose to any agency in executive, legislative, or judicial branch, or the District of Columbia's government in response to its request, or at the initiation of the agency maintaining the records, information in connection with the hiring of an employee, the issuance of a security clearance, the conducting of a security or suitability investigation of an individual, the classifying of jobs, the letting of a contract, the issuance of a license, grant, or other benefits by the requesting agency, or the lawful statutory, administrative, or investigative purpose of the agency to the extent that the information is relevant and necessary to the requesting agency's decision.

n. To disclose information to the Office of Management and Budget at any stage in the legislative coordination and clearance process in connection with private relief legislation as set forth in OMB Circular No. A-19.

o. To provide information to a congressional office from the record of an individual in response to an inquiry from that congressional office made at the request of the individual.

p. To disclose information to another Federal agency, to a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency, either when the Government is a party to a judicial proceeding or to comply with the issuance of a subpoena.

q. To disclose information to the Department of Justice, or in a proceeding before a court, adjudicative body, or other administrative body before which the agency is authorized to appear, when:

1. The agency, or any component thereof; or
2. Any employee of the agency in his or her official capacity; or
3. Any employee of the agency in his or her individual capacity where the Department of Justice or the agency has agreed to represent the employee; or

4. The United States, when the agency determines that litigation is likely to affect the agency or any of its components, is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice or the agency is deemed by the agency to be relevant and necessary to the litigation provided, however, that in each

case it has been determined that the disclosure is compatible with the purpose for which the records were collected.

r. By the National Archives and Records Administration in records management inspections.

s. By the agency maintaining the records or by the Office to locate individuals for personnel research or survey response, and in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related workforce studies. While published statistics and studies do not contain individual identifiers, in some instances, the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference.

t. To provide an official of another Federal agency information needed in the performance of official duties related to reconciling or reconstructing data files, in support of the functions for which the records were collected and maintained.

u. When an individual to whom a record pertains is mentally incompetent or under other legal disability, information in the individual's record may be disclosed to any person who is responsible for the care of the individual, to the extent necessary to assure payment of benefits to which the individual is entitled.

v. To disclose to the agency-appointed representative of an employee all notices, determinations, decisions, or other written communications issued to the employee, in connection with an examination ordered by the agency under--

(1) Fitness-for-duty examination procedures; or

(2) Agency-filed disability retirement procedures.

w. To disclose, in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

x. To disclose to a requesting agency, organization, or individual the home address and other relevant information on those individuals who it reasonably believed might have contracted an illness or might have been exposed to or suffered from a health hazard while employed in the Federal work force.

y. To disclose specific civil service employment information required under law by the Department of Defense on individuals identified as members of the Ready Reserve to assure continuous mobilization readiness of Ready Reserve units and members, and to identify demographic characteristics of civil service retirees for national emergency mobilization purposes.

z. To disclose information to the Department of Defense, National Oceanic and Atmospheric Administration, U.S. Public Health Service, Veterans Administration, and the U.S. Coast Guard needed to effect any adjustments in retired or retained pay required by the dual compensation provisions of section 5532 of title 5, United States Code.

aa. To disclose information to officials of the Merit Systems Protection Board, including the Office of the Special Counsel, when requested in connection with appeals, special studies of the civil service and other merit systems, review of Office rules and regulations, investigation of alleged or possible prohibited personnel practices, and such other functions promulgated in 5 U.S.C. 1205 and 1206 or as may be authorized by law.

bb. To disclose information to the Equal Employment Opportunity Commission when requested in connection with investigations of alleged or possible discrimination practices in the Federal sector, examination of Federal affirmative employment programs, compliance by Federal agencies with the Uniform Guidelines of Employee Selection Procedures, or other functions vested in the Commission.

cc. To disclose information to the Federal Labor Relations Authority (including its General Counsel) when requested in connection with investigation and resolution of allegations of unfair labor practices, in connection with the resolution of exceptions to arbitrator's awards when a question of material fact is raised, and in connection with matters before the Federal Service Impasses Panel.

dd. To disclose to prospective non-Federal employers, the following information about a specifically identified current or former Federal employee:

(1) Tenure of employee;
(2) Civil service status;
(3) Length of service in the agency and the Government; and
(4) When separated, the date and nature of action as shown on the Notification of Personnel Action--Standard Form 50 (or authorized exception).

ee. To disclose information on employees of Federal health care facilities to private sector (i.e., other than Federal, State, or local government) agencies, boards, or commissions (e.g., the Joint Commission on Accreditation of Hospitals). Such disclosures will be made only when the disclosing agency determines that it is in the Government's best interest (e.g., to comply with law, rule, or regulation, to assist in the recruiting of staff in the community where the facility operates or to avoid any adverse publicity that may result from public criticism of the facility's failure to obtain such approval, or to obtain accreditation or other approval rating). Disclosure is to be made only to the extent that the information disclosed is relevant and necessary for that purpose.

ff. To disclose information to any member of an agency's Performance Review Board or other panel when the member is not an official of the employing agency; information would then be used for approving or recommending selection of candidates for executive development or SES candidate programs, issuing a performance appraisal rating, issuing performance awards, nominating for meritorious and distinguished executive ranks, and removal, reduction-in-grade, and other personnel actions based on performance.

gg. To disclose information to the Federal Acquisition Institute (FAI) about Federal employees in procurement occupations and other occupations whose incumbents spend the predominant amount of their work hours on procurement tasks; provided that the FAI shall only use the data for such purposes and under such conditions as prescribed by the notice of the Federal Acquisition Personnel Information System as published in the Federal Register of February 7, 1980 (45 FR 8399).

hh. To disclose relevant information with personal identifiers of Federal civilian employees whose records are contained in the Central Personnel Data File to authorized Federal agencies and non-Federal entities for use in computer matching. The matches will be performed to help eliminate waste, fraud, and abuse in Governmental programs; to help identify individuals who are potentially in violation of civil or criminal law or regulation; and to collect debts and overpayments owed to Federal, State, or local governments and their components. The information disclosed may include the name, social security number, date of birth, annualized salary rate, service computation date of basic active service, veteran's preference, retirement status, occupational series, position occupied, work schedule (full time, part time, or intermittent), agency identifier, geographic location (duty station location), standard metropolitan service area, special program identifier, and submitting office number of Federal employees.

ii. To disclose information to Federal, state, local, and professional licensing boards, Boards of Medical Examiners, or to the Federation of State Medical Boards or a similar non-government entity which maintains records concerning individuals' employment histories or concerning the issuance, retention or revocation of licenses, certifications or registration necessary to practice an occupation, profession or specialty, in order to obtain information relevant to an Agency decision concerning the hiring, retention or termination of an employee or to inform a Federal Agency or licensing boards or the appropriate nongovernment entities about the health care practices of a terminated, resigned or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal agency.

jj. To disclose information to contractors, grantees, or volunteers performing or working on a contract, service, grant, cooperative agreement, or job for the Federal Government.

kk. To disclose information to a Federal, State, or local governmental entity or agency (or its agent) when necessary to locate individuals who are owed money or property either by a Federal, State, or local agency, or by a financial or similar institution.

Policies and practices of storing, retrieving, safeguarding, and retaining and disposing of records in the system:

Storage:

These records are maintained in file folders, on lists and forms, microfilm or microfiche, and in computer processable storage media.

Retrievability:

These records are retrieved by various combinations of name, birth date, social security number, or identification number of the individual on whom they are maintained.

Safeguards:

Paper or microfiche/microfilmed records are located in locked metal file cabinets or in secured rooms with access limited to those personnel whose official duties require access. Access to computerized records is limited, through use of access codes and entry logs, to those whose official duties require access.

Retention and disposal:

The OPF is maintained for the period of the employee's service in the agency and is then transferred to the National Personnel Records Center for storage or, as appropriate, to the next employing Federal agency. Other records are either retained at the agency for various lengths of time in accordance with General Services Administration records schedules or destroyed when they have served their purpose or when the employee leaves the agency.

a. Long-term records. The OPF is retained by the employing agency as long as the individual is employed with the agency. Medical records are kept separately from the OPF while the individual is employed by the agency. When the individual transfers to another Federal agency or to another appointing office, the OPF, and the Employee Medical Folder covered by the OPM/GOVT-10 system of records, are sent to that agency or office. Other medical records covered by this system; i.e., fitness-for-duty examinations, are considered temporary in nature. Such records, when not submitted to the Office for retention in a disability retirement file (or submitted, but the Office does not approve retirement), shall be destroyed no later than 6 months after closing action on the case or sooner at the discretion of the agency.

For non-SES employees, transfer performance ratings of record 3 years old or less and the performance plan on which the most recent rating was based from the Employee Performance File to the OPF, if the ratings and plans are not maintained by the agency in the OPF.

Within 90 days after the individual separates from the Federal service, the OPF is sent to the National Personnel Records Center for long-term storage. In the case of administrative need, a retired employee, or an employee who dies in service, the OPF is sent to the Records Center within 120 days.

Destruction of the OPF is in accordance with General Records Schedule-1 (GRS-1).

b. Other records. Other records are retained for varying periods of time. Generally they are maintained for a minimum of 1 year or until the employee transfers or separates.

c. Records contained on computer processible media within the CPDF (and in agency's automated personnel records) may be retained indefinitely as a basis for longitudinal work history statistical studies. After the disposition date in GRS-1, such records should not be used in making decisions concerning employees.

System manager and address:

Assistant Director for Workforce Information, Personnel Systems and Oversight Group, Office of Personnel Management, 1900 E Street, NW, Washington, D.C. 20415.

Notification procedure:

Individuals wishing to inquire whether this system of records contains information about them should contact the appropriate Office or employing agency office, as follows:

a. Current Federal employees should contact the Personnel Officer or other responsible official (as designated by the employing agency), of the local agency installation at which employed regarding records in this system.

b. Former Federal employees should contact the Office's St. Louis office (address cited in "Records Access Procedure" below), or as explained in the Note in the "Records Access Procedure" below, the National Personnel Records Center (Civilian), 111 Winnebago Street, St. Louis, Missouri 63118, regarding the records in this system.

Individuals must furnish the following information for their records to be located and identified:

a. Full name(s).
b. Date of birth.
c. Social security number.
d. Last employing agency (including duty station) and approximate date(s) of the employment (for former Federal employees).
e. Signature.

Record access procedure:

Individuals wishing to request access to their records should contact the appropriate OPM or agency office, as specified in the Notification Procedure section. Individuals must furnish the following information for their records to be located and identified:

a. Full name(s).
b. Date of birth.
c. Social security number.
d. Last employing agency (including duty station) and approximate date(s) of employment (for former Federal employees).
e. Signature.

Individuals requesting access must also comply with the Office's Privacy Act regulations on verification of identity and access to records (5 CFR part 297).

Note: An individual who is a former Federal employee may direct a request to the National Personnel Records Center (NPRC) for a copy of a specific OPF document or for a transcript of his or her own employment history compiled from documents in the OPF. The transcript includes the individual's name; date of birth; social security number; all past grades held, position titles, duty stations, and salaries; and dates of personnel actions.

Under no circumstances shall an individual direct a request to the NPRC for access to copies of all records maintained in his or her OPF. Though NPRC stores and services the OPFs of former Federal employees covered by this system, that record remains the property of the Office, and such requests will be handled and processed by the: OPF/EMF Access Unit, Office of Personnel Management, P.O. Box 18673, St. Louis, Missouri 63118.

Contesting record procedure:

Current employees wishing to request amendment of their records should contact their current agency. Former employees should contact the system manager and not the Office. Individuals must furnish the following information for their records to be located and identified.

a. Full name(s).
b. Date of birth.
c. Social security number.
d. Last employing agency (including duty station) and approximate date(s) of the employment (for former Federal employees).
e. Signature.

Individuals requesting amendment must also comply with the Office's Privacy Act regulations on verification of identity and amendment of records (5 CFR 297).

Note: Under no circumstances shall former employees direct a request for amendment to records in the OPF to the NPRC or to the Office's OPF/EMF Access unit in St. Louis, Missouri. NPRC only stores and services the OPFs on former Federal employees covered by this system, and the Office's office in St. Louis processes only access requests. Processing under the amendment provisions of the Privacy Act will be handled only by the system manager.

Record source categories:

Information in this system of records is provided by—

a. The individual on whom the record is maintained.
b. Physicians examining the individual.
c. Educational institutions.
d. Agency officials and other individuals or entities.

e. Other sources of information for long-term records maintained in an employee's OPF, in accordance with Federal Personnel Manual, Chapter 293, and the Federal Personnel Supplement 293-31.

OPM/GOVT-2

System name:

Employee Performance File System Records.

System location:

Records maintained in this system may be located as follows:

a. In an Employee Performance File (EPF) maintained in the agency office responsible for maintenance of the employee's Official Personnel Folder (OPF) or other agency-designated office. This includes those instances where the agency uses an envelope within the OPF in lieu of a separate EPF folder.

b. In the EPF of Senior Executive Service (SES) appointees where the agency elects to have the file maintained by the Performance Review Boards required by 5 U.S.C. 4314(c)(1), or the administrative office supporting the Board.

c. In any supervisor/manager's work folder maintained in the office by the employee's immediate supervisor/manager or, where agencies have determined that records management is better served, in such folders maintained for supervisors/managers in a central administrative office.

d. In an agency's automated personnel records system.

e. In an agency microformed EPF.

Note 1: Originals or copies of records covered by this system may be located in more than one location, but if they become part of an agency internal system (e.g., administrative or negotiated grievance file), those copies then would be subject to the agency's internal Privacy Act implementation guidance regarding their use within the agency's system.

Note 2: The records in this system are "owned" by the Office of Personnel Management (Office) and should be provided to those Office employees who have an official need or use for those records. Therefore, if an employing agency is asked by an Office employee for access to the records within this system, such a request should be honored.

Categories of individuals covered by the system:

Current and former Federal employees (including SES appointees).

Categories of records in the system:

Records in this system, wherever they are maintained, may include any or all of the following:

a. Annual summary performance appraisals issued under employee appraisal systems and any document that indicates that the appraisal is being challenged under administrative procedures (e.g., when the employee files a grievance on the appraisal received).

b. A document (either the summary appraisal form itself or a form affixed to it) that identifies the job elements and the standards for those elements upon which the appraisal is based.

c. Supporting documentation for employee appraisals, as required by agency appraisal systems or implementing instructions, and which may be filed physically with the appraisal of record (e.g., productivity and quality control records, records of employee counseling, individual development plans, or other such records as specified in agency issuances and maintained, e.g., in a work folder by supervisors/managers at the work site.

d. Records on SES appraisals generated by Performance Review Boards, including statements of witnesses and transcripts of hearings.

e. Written recommendations for awards, removals, demotions, denials of within-grade increases, reassignments, training, pay increases, cash bonuses, or other performanced-based actions (e.g., nominations of SES employees for Meritorious or Distinguished Executive), including supporting documentation.

f. Statements made (letter on or appended to the performance appraisal document) by the employee (e.g., a statement of disagreement with the appraisal or recommendation), in accordance with agency performance appraisal plans and implementing instructions, regarding an appraisal given and any recommendations made based on them.

Note: When a recommendation by a supervisor/manager or a statement made by the employee regarding the appraisal issued (or a copy) becomes part of another Government-wide system or internal agency file (e.g., an SF 52 filed in an OPF when the action is effected or when documents or statements of disagreement are placed in a grievance file), that document then becomes subject to that system's notice and appropriate Office or employing agency Privacy Act requirements, respectively, for the system of records covering that file.

g. Records created by Executive Resource Boards regarding performance of an individual in an executive development program.

h. Records needed to support removal for unsatisfactory performance during the supervisory or managerial probationary period, the SES appointment probationary period, or the employee's initial period of probation after appointment.

i. Notices of commendations (which are not considered a permanent OPF document), recommendations for training, such as an Individual Development Plan, and advice and counseling records that are based on work performance.

j. Copies of supervisory appraisals used in considering employees for promotion or other position changes originated in conjunction with agency merit promotion programs when specifically authorized for retention in the EPF or work folder.

k. Performance-related material that may be maintained in the work folder to assist the supervisor/manager in accurately assessing employee performance. Such material may include transcripts of employment and training history, documentation of special licenses, certificates, or authorizations necessary in the performance of the employee problems, and other such records that agencies determine to be appropriate for retention in the work folder.

l. Standard Form 7B cards.

Note: To the extent that performance records covered by this system are maintained in either an EPF, supervisor/manager work folder, or an agency's automated or microform record system, they are considered covered under this system of records. Further, when copies of records filed in the employee's OPF are maintained as general records related to performance (item k above), those records are to be considered as being covered by this system and not the OPM/GOVT-1 system.

This notice does not cover these records (or copies) when they become part of a grievance file or a 5 CFR parts 432, 752, or 754 file (documents maintained in these files are covered by the OPM/GOVT-3 system of records, while grievance records are covered under an agency-specific system), or when they become part of an appeal or discrimination complaint file as such documents are considered to be part of either the system of appeal records under the control of the Merit Systems Protection Board (MSPB) or discrimination complaints files under the control of the Equal Employment Opportunity Commission (EEOC).

When an agency retains copies of records from this system in another system of records, not covered by this or another OPM, MSPB, or EEOC Government-wide system notice, the agency is solely responsible for responding to any Privacy Act issues raised concerning these documents.

The Office has adopted a position that when supervisors/managers retain personal "supervisory" notes, i.e., information on employees that the agency exercises no control and does not require or specifically describe in its performance appraisal system, which remain solely for the personal use of the author and are not provided to any other person, and which are retained or discarded at the author's sole discretion, such notes are not subject to the Privacy Act and are, therefore, not considered part of this system. Should an agency choose to adopt a position that such notes are subject to the Act, that agency is solely responsible for dealing with Privacy Act matters, including the requisite system notice, concerning them.

Authority for maintenance of the system:

Authority for maintenance of the system includes the following with any revisions or amendments:

Sections 1104, 3321, 4305, and 5405 of title 5, U.S. Code, and Executive Order 12107.

Purpose:

These records are maintained to ensure that all appropriate records on an employee's performance are retained and are available (1) to agency officials having a need for the information; (2) to employees; (3) to support actions based on the records; (4) for use by the Office in connection with its personnel management evaluation role in the executive branch; and (5) to identify individuals for personnel research.

Routine uses of records maintained in the system, including categories of users and the purpose of such uses:

a. To disclose information to officials of the MSPB, including its Office of Special Counsel, when requested in connection with appeals, special studies of the civil service and other merit systems, review of Office rules and regulations, investigations of alleged or possible prohibited personnel practices, and other functions as promulgated in 5 U.S.C. 1205, 1206, and 1209 or for such other functions as may be authorized by law.

b. To disclose information to the EEOC when requested in connection with investigations into alleged or possible discrimination practices in the Federal sector, examination of Federal Affirmative Action programs, compliance by Federal agencies with the Uniform Guidelines on Employee Selection Procedures, or other functions vested in the Commission.

c. To disclose information to the Federal Labor Relations Authority (including its General Counsel) when requested in connection with the investigation and resolution of allegations of unfair labor practices, in connection with the resolution of exceptions to arbitrator's awards where a question of material fact is raised, and matters before the Federal Service Impasses Panel.

d. To consider and select employees for incentive awards, quality-step increases, merit increases and performance awards, or other pay bonuses, and other honors and to publicize those granted. This may include disclosure to public and private organizations, including news media, which grant or publicize employee awards or honors.

e. To disclose information to an arbitrator to resolve disputes under a negotiated grievance procedure or to officials of labor organizations recognized under 5 U.S.C. chapter 71 when relevant and necessary to their duties of exclusive representation.

f. To disclose to an agency in the executive, legislative, or judicial branch, or to the District of Columbia's government in response to its request, or at the initiation of the agency maintaining the records, information in connection with hiring or retaining of an employee; issuing a security clearance; conducting a security or suitability investigation of an individual; classifying jobs; letting a contract; issuing a license, grant, or other benefits by the requesting agency; or the lawful statutory, administrative, or investigative purposes of the agency to the extent that the information is relevant and necessary to the decision on the matter.

g. To disclose, in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

h. To disclose information to a congressional office from the record or an individual in response to an inquiry from that congressional office made at the request of the individual.

i. To disclose information to another Federal agency, to a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency, either when the Government is a party to a judicial proceeding or to comply with the issuance of a subpoena.

j. To disclose information to the Department of Justice, or in a proceeding before a court, adjudicative body, or other administrative body before which the agency is authorized to appear, when:

1. The agency, or any component thereof; or
2. Any employee of the agency in his or her official capacity; or
3. Any employee of the agency in his or her individual capacity where the Department of Justice or the agency has agreed to represent the employee; or
4. The United States, when the agency determines that litigation is likely to affect the agency or any of its components, is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice or the agency is deemed by the agency to be relevant and necessary to the litigation, provided, however, that in each case it has been determined that the disclosure is compatible with the purpose for which the records were collected.

k. By the National Archives and Records Administration in records management inspections.

l. By the Office or employing agency to locate individuals for personnel research or survey response and in producing summary descriptive statistics and analytical studies to support the function for which the records are collected and maintained, or for related workforce studies. While published statistics and studies do not contain individual identifiers, in some instances the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference.

m. To disclose pertinent information to the appropriate Federal (including offices of Inspectors General), State, or local government agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, where the agency maintaining the record becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation.

n. To disclose information to private sector (i.e., non-Federal, State, or local government) agencies, organizations, boards, bureaus, or commissions. Such disclosures may be made only when the disclosing agency determines that the records are properly constituted in accordance with the Office or agency requirements; are accurate, relevant, timely, and complete; and the disclosure is in the best interest of the Government (e.g., where the agency's cooperation with the private sector entity, through the exchange of individual records, directly benefits the agency's completion of its mission, enhances the agency's personnel management functions,or increases the public confidence in the agency's or the Federal Government's role in the community). Further, only such information that is clearly relevant and necessary for accomplishing the intended uses of the information as certified by the receiving private sector entity, are to be furnished.

o. To disclose information to any member of an agency's Performance Review Board or other board or panel when the member is not an official of the employing agency. The information would then be used for approving or recommending performance awards, nominating for meritorious and distinguished executive ranks, and removal, reduction-in-grade, and other personnel actions based on performance.

p. To disclose to Federal, State, local, and professional licensing boards or Boards of Medical Examiners, when such records reflect on the qualifications of an individual seeking to be licensed.

q. To disclose to contractors, grantees, or volunteers performing or working on a contract, service, grant, cooperative agreement or job for the Federal Government.

Policies and practices of storing, retrieving, safeguarding, and retaining and disposing of records in the system:

Storage:

Records are maintained in file folders, envelopes, and on magnetic tapes, disks, microfilm, or microfiche.

Retrievability:

Records are retrieved by the name and social security number of the individual on whom they are maintained.

Safeguards:

Records are maintained in file folders or envelopes, on magnetic tape, disks, or microforms and are stored in locked desks, metal filing cabinets, or in a secured room with access limited to those whose official duties require access. Additional safeguarding procedures include the use of sign-out sheets and restrictions on the number of employees able to access automated records through use of access codes and logs.

Retention and disposal:

Records on former non-SES employees will generally be retained no longer than 1 year after the employee leaves his or her employing agency. Records on former SES employees may be retained up to five years under 5 U.S.C. 4314.

a. Summary performance appraisals (and related records as the agency prescribes) on SES appointees are retained for five years and on other employees for three years, except as shown in paragraph b. below, and are disposed of by shredding, burning, erasing of disks, or in accordance with agency procedures regarding destruction of personnel records, including giving them to the individual.

b. Appraisal of unacceptable performance and related documents, pursuant to 5 U.S.C. 4303(d), are destroyed after the employee completes 1 year of acceptable performance from the date of the proposed removal or reduction-in-grade notice. (Destruction to be no later than 30 days after the year is up.)

c. When a career appointee in the SES accepts a Presidential appointment pursuant to 5 U.S.C. 3392(c), the employee's performance folder remains active so long as the employee remains employed under the Presidential appointment and elects to have certain provisions of 5 U.S.C. relating to the Service apply.

d. When an incumbent of the SES transfers to another position in the Service, ratings and plans 5 years old or less shall be forwarded to the gaining agency with the individual's OPF.

e. Some performance-related records (e.g., documents maintained to assist rating officials in appraising performance or recommending remedial actions or to show that the employee is currently licensed or certified) may be destroyed after 1 year.

f. Where any of these documents are needed in connection with administrative or negotiated grievance procedures, or quasi-judicial or judicial proceedings, they may be retained as needed beyond the retention schedules identified above.

g. Generally, agencies retain records on former employees for no longer than 1 year after the employee leaves.

Note: When an agency retains an automated or microform version of any of the above documents, retention of such records longer than shown is permitted (except for those records subject to 5 U.S.C. 4303(d) for agency use or for historical or statistical analysis, but only so long as the record is not used in a determination directly affecting the individual about whom the record pertains (after the manual record has been or should have been destroyed).

System manager and address:

Assistant Director for Workforce Information, Personnel Systems and Oversight Group, Office of Personnel Management, 1900 E. Street NW., Washington, DC 20415.

Notification procedure:

Individuals wishing to inquire whether this system contains information about them should contact their servicing personnel office, supervisor/manager, Performance Review Board office, or other agency designated office maintaining their performance-related records where they are or were employed. Individuals must furnish the following information for their records to be located and identified:

a. Full name(s).
b. Social security number.
c. Position occupied and unit where employed.

Records access procedure:

Individuals wishing access to their records should contact the appropriate office indicated in the Notification Procedure section where they are or were employed. Individuals must furnish the following information for their records to be located and identified:

a. Full name(s).
b. Social security number.
c. Position occupied and unit where employed.

Individuals requesting access to records must also comply with the Office's Privacy Act regulations on verification of identity and access to records (5 CFR 297).

Contesting record procedure:

Individuals wishing to request amendment to their records should contact the appropriate office indicated in the Notification Procedure section where they are or were employed. Individuals must furnish the following information for their records to be located and identified:

a. Full name(s).
b. Social security number.
c. Position occupied and unit where employed.

Individuals requesting amendment must also comply with the Office's Privacy Act regulations on verification of identity and amendment of records (5 CFR part 297).

Records source categories:

Records in this system are obtained from:

a. Supervisors/managers.
b. Performance Review Boards.
c. Executive Resource Boards.
d. Other individuals or agency officials.
e. Other agency records.
f. The individual to whom the records pertain.

OPM/GOVT-3

System name:

Records of Adverse Actions and Actions Based on Unacceptable Performance.

System location:

These records are located in personnel or designated offices in Federal agencies in which the actions were processed.

Categories of individuals covered by the system:

Current or former Federal employees (including Senior Executive Service (SES) employees) against whom such an action has been proposed or taken in accordance with 5 CFR parts 432, 752, or 754 of the Office's regulations.

Categories of records in the system:

This system contains records and documents on the processing of adverse actions and actions based on unacceptable performance. The records include copies of the notice of proposed action, materials relied on by the agency to support the reasons in the notice, replies by the employee statements of witness, hearing notices, reports, and agency decisions.

Note: This system does not include records, including the action file itself, compiled when such actions are appealed to the Merit System Protection Board (MSPB) or become part of a discrimination complaint record at the Equal Employment Opportunity Commission (EEOC). Such appeal and discrimination complaint file records are covered by the appropriate MSPB or EEOC system of records.

Authority for maintenance of the system:

Authority for maintenance of the system includes the following with any revisions or amendments: 5 U.S.C. 4303, 7504, 7514, AND 7543.

Purpose:

These records result from the proposal, processing, and documentation of these actions either taken by the Office or agencies against employees in accordance with 5 CFR parts 432, 752, or 754 of the Office's regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. To provide information to officials of labor organizations recognized under 5 U.S.C. chapter 71 when relevant and necessary to their duties of exclusive representation concerning personnel policies, practices, and matters affecting work conditions.

b. To disclose pertinent information to the appropriate Federal, State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, when the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation.

c. To disclose information to any source from which additional information is requested for processing any of the covered actions or in regard to any appeal or administrative review procedure, to the extent necessary to identify the individual, inform the source of the purpose(s) of the request, and identify the type of information requested.

d. To disclose information to a Federal agency, in response to its request, in connection with hiring or retaining an employee, issuing a security clearance, conducting a security or suitability investigation of an individual, or classifying jobs, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

e. To provide information to a congressional office from the record of an individual in response to an inquiry from that congressional office made at the request of that individual.

f. To disclose information to another Federal agency, to a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency, either when the Government is a party to a judicial proceeding or to comply with the issuance.

g. To disclose information to the Department of Justice, or in a proceeding before a court, adjudicative body or other administrative body before which the agency is authorized to appear, when:

1. The agency, or any component thereof; or
2. Any employee of the agency in his or her official capacity; or
3. Any employee of the agency in his or her individual capacity where the Department of Justice or the agency has agreed to represent the employee; or
4. The United States, when the agency determines that litigation is likely to affect the agency or any of its components, is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice or the agency is deemed by the agency to be relevant and necessary to the litigation, provided, however, that in each case it has been determined that the disclosure is compatible with the purpose for which the records were collected.

h. By the National Archives and Records Administration in records management inspections.

i. By the agency maintaining the records or the Office to locate individuals for personnel research or survey response and in producing summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related workforce studies. While published statistics and studies do not contain individual identifiers, in some instances the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference.

j. To disclose, in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

k. To disclose information to official of the MSPB, including its Office of Special Counsel, when requested in connection with appeals, special studies of the civil service and other merit systems, review of Office rules and regulations, investigations of alleged or possible prohibited personnel practices, and such other functions, as promulgated in 5 U.S.C. 1205 and 1206, and as specified in 5 U.S.C. 7503(c) and 5 U.S.C. 7513(e), or as may be authorized by law.

l. To disclose information to the EEOC when requested in connection with investigations into alleged or possible discrimination practices in the Federal sector, examination of Federal affirmative employment programs, compliance by Federal agencies with the Uniform Guidelines on Employee Selection Procedures, or other functions vested in the Commission.

m. To disclose information to the Federal Labor Relations Authority or its General Counsel when requested in connection with investigations of allegations of unfair labor practices or matters before the Federal Service Impasses Panel.

n. To provide an official of another Federal agency information he or she needs to know in the performance of his or her official duties or reconciling or reconstructing data files, in support of the functions for which the records were collected and maintained.

o. To disclose information to private sector (i.e., non-Federal, State, or local governments) agencies, organizations, boards, bureaus, or commissions. Such disclosures may be made only when the disclosing agency determines that the records are properly constituted in accordance with Office or employing agency requirements; the records are accurate, relevant, timely, and complete; and the disclosure is in the best interests of the Government. When the agency's cooperation with the private sector entity, through the exchange of individual records, directly benefits the agency's completion of its mission, enhances the agency's personnel management functions, or increases the public confidence in the agency's or the Federal Government's role in the community, then the Government's best interests are served. Further, only such information that is clearly relevant and necessary for accomplishing the intended uses of the information as certified by the receiving private sector entity, are to be furnished.

Policies and practices for storing, retrieving, safeguarding, and retaining and disposing of records in the system:

Storage:

These records are maintained in file folders, in automated media, or on microfiche or microfilm.

Retrievability:

These records are retrieved by the names and social security number of the individuals on whom they are maintained.

Safeguards:

These records are maintained in locked metal filing cabinets or in automated media to which only authorized personnel have access.

Retention and disposal:

Records documenting an adverse action or a performance-based removal or demotion action are disposed of four years after the closing of the case. Disposal is by shredding, or erasure of tapes (disks).

System manager and address:

Assistant Director for Employee and Labor Relations, Personnel Systems and Oversight Group, Office of Personnel Management, 1900 E Street, NW, Washington, DC 20415 for actions taken under parts 432, 752 (subparts A through D only), and 754. Director, Office of Executive Administration, Office of Personnel Management, 1900 E Street, NW, Washington, DC 20415 for actions taken against SES appointees under subparts E and F, of part 752.

Notification procedure:

Individuals receiving notice of a proposed adverse, removal, or demotion action must be provided access to all documents supporting the notice. At any time thereafter, individuals subject to the action will be provided access to the complete record. Individuals should contact the agency personnel or designated office where the action was processed regarding the existence of such records on them. They must furnish the following information for their records to be located and identified:

a. Name.
b. Date of birth.
c. Approximate date of closing of the case and kind of action taken.
d. Organizational component involved.

Record access procedure:

Individuals against whom such actions are taken must be provided access to the record. However, after the action has been closed, an individual may request access to the official copy of an adverse or performance-based action file by contacting the agency personnel or designated office where the action was processed. Individuals must furnish the following information for their records to be located and identified:

a. Name.
b. Date of birth.
c. Approximate date of closing of the case and kind of action taken.
d. Organizational component involved.

Individuals requesting access must also follow the Office's Privacy Act regulations on verification of identity and access to records (5 CFR part 297).

Contesting record procedure:

Review of requests from individuals seeking amendment of their records that have or could have been the subject of a judicial, quasi-judicial, or administrative action will be limited in scope. Review of amendment requests of these records will be restricted to determining if the record accurately documents the action of the agency ruling on the case, and will not include a review of the merits of the action, determination, or finding.

Individuals wishing to request amendment of their records to correct factual errors should contact the agency personnel or designated office where the actions were processed. Individuals must furnish the following information for their records to be located and identified:

a. Name.
b. Date of birth.
c. Approximate date of closing of the case and kind of action taken.
d. Organizational component involved.

Individuals requesting amendment must also follow the Office's Privacy Act regulations on verification of identity and amendment of records (5 CFR part 297).

Record source categories:

Information in this system of records is provided:

a. By the individual on whom the record is maintained.
b. By testimony of witnesses.
c. By agency officials.
d. From related correspondence from organizations or persons.

OPM/GOVT-5

System name:

Recruiting, Examining, and Placement Records

System location:

Associate Director for Career Entry and Employee Development, Office of Personnel Management, 1900 E Street, NW, Washington, DC 20415, OPM regional and area offices; and personnel or other designated offices of Federal agencies that are author to make appointments and to act for the Office by delegated authority.

Categories of individual covered by the system:

a. Persons who have applied to the Office or agencies for Federal employment and current and former Federal employees submitting applications for other positions in the Federal service.

b. Applicants for Federal employment believed or found to be unsuitable for employment on medical grounds.

Categories of records in the system:

In general, all records in this system contain identifying information including name, date of birth, social security number, and home address. These records pertain to assembled and unassembled examining procedures and contain information on both competitive examinations and on certain noncompetitive actions, such as determinations of time-in-grade restriction waivers, waiver of qualification requirement determinations, and variations in regulatory requirements in individual cases.

This system includes such records as--

a. Applications for employment that contain information on work and education, military service, convictions for offenses against the law, military service, and indications of specialized training or receipt of awards or honors. These records may also include copies of correspondence between the applicant and the Office or agency.

b. Results of written exams and indications of how information in the applications was rated. These records also contain information on the ranking of an applicant, his or her placement on a list of eligibles, what certificates applicant's names appeared, an agency's request for Office approval of the agency's objection to an eligible's qualifications and the Office's decision in the matter, an agency's request for Office approval for the agency to pass over an eligible and the Office's decision to object/pass over an eligible when the agency has authority to make such decisions under agreement with the Office.

c. Records regarding the Office's final decision on an agency's decision to object/pass over an eligible for suitability or medical reasons or when the objection/pass over decision applies to a compensable preference eligible with 30 percent or more disability. (Does not include a rating of ineligibility for employment because of a confirmed positive test result under Executive Order 12564).

d. Responses to and results of approved personality or similar tests administered by the Office or agency.

e. Records relating to rating appeals filed with the Office or agency.

f. Registration sheets, control cards, and related documents regarding Federal employees requesting placement assistance in view of pending or realized displacement because of reduction in force, transfer or discontinuance of function, or reorganization.

g. Records concerning non-competitive action cases referred to the Office for decision. These files include such records as waiver of time-in-grade requirements, decisions on superior qualification appointments, temporary appointments outside a register, and employee status determinations. Authority for making decisions on many of these actions has also been delegated to agencies. The records retained by the Office on such actions and copies of such files retained by the agency submitting the request to the Office, along with records that agencies maintain as a result of the Office's delegations of authorities, are considered part of this system of records.

h. Records retained to support Schedule A appointments of severely physically handicapped individuals, retained both by the Office and agencies acting under the Office delegated authorities, are part of this system.

i Agency applicant supply file systems (when the agency retains applications, resumes, and other related records for hard-to-fill or unique positions, for future consideration), along with any pre-employment vouchers obtained in connection with an agency's processing of an application, are included in this system.

j. Records derived from the Office-developed or agency-developed assessment center exercises.

k. Case files related to medical suitability determinations and appeals.

l. Records related to an applicant's examination for use of illegal drugs under provisions of Executive Order 12564. Such records may be retained by the agency (e.g., evidence of confirmed positive test results) or by a contractor laboratory (e.g., the record of the testing of an applicant, whether negative, or confirmed or unconfirmed positive test result).

Note 1: Only Routine Use "p" identified for this system of records is applicable to records relating to drug testing under Executive Order 12564. Further, such records shall be disclosed only to a very limited number of officials within the agency, generally only to the agency Medical Review Official (MRO), the administrator of the agency Employee Assistance Program, and any supervisory or management official within the employee's agency having authority to take the adverse personnel action against the employee.

Note 2: The Office does not intend that records created by agencies in connection with the agency's Merit Promotion Plan program be included in the term "Applicant Supply File" as used within this notice. It is the Office's position that Merit Promotion Plan records are not a system of records within the meaning of the Privacy Act as such records as used in the Privacy Act, but if they do so, they are solely responsible for implementing Privacy Act requirements, including establishment and notice of a system of records pertaining to such records.

Note 3: To the extent that an agency utilizes an automated medium in connection with maintenance of records in this system, the automated versions of these records are considered covered by this system of records.

Authority for maintenance of the system:

Authority for maintenance of the system includes the following with any revisions or amendment: 5 U.S.C. 1302, 3109, 3301, 3302, 3304, 3305, 3306, 3307, 3309, 3313, 3317, 3318, 3319, 3326, 4103, 4723, 5532, and 5533, and Executive Order 9397.

Purpose:

The records are used in considering individuals who have applied for positions in the Federal service by making determinations of qualifications including medical qualifications, for positions applied for, and to rate and rank applicants applying for the same or similar positions. They are also used to refer candidates to Federal agencies for employment consideration, including appointment, transfer, reinstatement, reassignment or promotion. Records derived from the Office-developed or agency-developed assessment center exercises may be used to determine training needs of participants. These records may also be used to locate individuals for personnel research.

Routine uses of records maintained in the system, including categories of users and the purpose of such uses:

Note: With the exception of Routine Use "p," none of the Other Routine Uses identified for this system of records are applicable to records relating to drug testing under Executive Order 12564. Further, such records shall be disclosed only to a very limited number of officials within that agency, generally only to the agency Medical Review Officer (MRO), the administrator of the agency's Employee Assistance Program, and the management official empowered to recommend or take adverse action affecting the individual.

a. To refer applicants, including current and former Federal employees to Federal agencies for consideration for employment, transfer, reassignment, reinstatement, or promotion.

b. With the permission of the applicant, to refer applicants to State and local governments, congressional offices, international organizations, and other public offices for employment consideration.

c. To disclose pertinent information to the appropriate Federal, State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, when the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation.

d. To disclose information to any source from which additional information is requested (to the extent necessary to identify the individual, inform the source of the purposes of the request, and to identify the type of information requested), when necessary to obtain information relevant to an agency decision concerning hiring or retaining an employee, issuing a security clearance, conducting a security or suitability investigation of an individual, classifying positions, letting a contract, or issuing a license, grant, or other benefit.

e. To disclose information to a Federal agency, in response to its request, in connection with hiring or retaining an employee, issuing a security clearance, conducting a security or suitability investigation of an individual, classifying positions, letting a contract, or issuing a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision in the matter.

f. To disclose information to the Office of Management and Budget at any stage in the legislative coordination and clearance process in connection with private relief legislation as set forth in OMB Circular No. A-19.

g. To provide information to a congressional office from the record of an individual in response to an inquiry from that congressional office made at the request of that individual.

h. To disclose information to another Federal agency, to a court, or a party in litigation before a court in an administrative proceeding being conducted by a Federal agency, either when the Government is a party to a judicial proceeding or in order to comply with the issuance of a subpoena.

i. To disclose information to the Department of Justice, or in a proceeding before a court, adjudicative body, or other administrative body before which the agency is authorized to appear, when:

1. The agency, or any component thereof; or
2. Any employee of the agency in his or her official capacity; or
3. Any employee of the agency in his or her individual capacity where the Department of Justice or the agency has agreed to represent the employee; or

4. The United States, when the agency determines that litigation is likely to affect the agency or any of its components, is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice or the agency is deemed by the agency to be relevant and necessary to the litigation, provided, however, that in each case it has been determined that the disclosure is compatible with the purpose for which the records were collected.

j. By the National Archives and Records Administration in records management inspections.

k. By the agency maintaining the records or by the Office to locate individuals for personnel research or survey response or in producing summary descriptive statistics any analytical studies in support of the function for which the records are collected and maintained, or for related workforce studies. While published statistics and studies do not contain individual identifiers, in some instances the selection of elements of data included in the study may be structured in such a way as to make the date individually identifiable by inference.

l. To disclose information to officials of the Merit Systems Protection Board, including its Office of Special Counsel, when requested in connection with appeals, special studies of the civil service and other merit systems, review of Office rules and rules and regulations, investigations of alleged or possible prohibited personnel practices, and such other functions; e.g., as prescribed in 5 U.S.C. 1205 and 1206, or as may be authorized by law.

m. To disclose information to the Equal Employment Opportunity Commission when requestad in connection with investigations into alleged or possible discrimination practices in the Federal sector, examination of Federal affirmative employment programs, compliance by Federal agencies with the Uniform Guidelines or Employee Selection Procedures, or other functions vested in the Commission.

n. To disclose information to the Federal Labor Relations Authority or its General Counsel when requested in connection with investigations of allegations of unfair labor practices or matters before the Federal Service Impasses Panel.

o. To disclose, in response to a request for discovery or for an appearance of a witness, information that is relevant to the subject matter involved in pending judicial or administrative proceeding.

p. To disclose the results of a drug test of a Federal employee pursuant to an order of a court of competent jurisdiction where required by the United States Government to defend against any challenge against any adverse personnel action.

q. To disclose information to Federal, State, local, and professional licensing boards, Boards of Medical Examiners, or to the Federal or State Medical Boards or a similar non-government entity which maintains records concerning the issuance, retention, or revocation of licenses, certifications, or registration necessary to practice an occupation, profession, or speciality, in order to obtain information relevant to an agency decision concerning the hiring, retention, or termination of an employee or to inform a Federal agency or licensing board or the appropriate non-government entity about the health care practice of a terminated, resigned, or retired health care employee whose professional health care activity so significantly failed to conform to generally accepted standards of professional medical practice as to raise reasonable concern for the health and safety of patients in the private sector or from another Federal agency.

r. To disclose information to contractors, grantees, or volunteers performing or working on a contract, service, grant, cooperative agreement, or job for the Federal Government.

Policies and practices for storing, retrieving, safeguarding, and retaining and disposing of records in the system:

Storage:

Records are maintained on magnetic tapes, disk, punched cards, microfiche, cards, lists, and forms.

Retrievability:

Records are retrieved by the name, date of birth, social security number, and/or identification number assigned to the individual on whom they are maintained.

Safeguards:

Records are maintained in a secured area or automated media with access limited to authorized personnel whose duties require access.

Retention and disposal:

Records in this system are retained for varying lengths of time, ranging from a few months to five years, e.g., applicant records that are part of medical determination case files or medical suitability appeal files are retained for three years from completion of action on the case. Most records are retained for a period of one to two years. Some records, such as individual applications, become part of the person's permanent official records when hired, while some records (e.g., non-competitive action case files), are retained for five years. Some records are destroyed by shredding or burning while magnetic tapes or disks are erased.

System manager and address:

Associate Director for Career Entry and Employee Development, Office of Personnel Management, 1900 E. Street, NW, Washington, DC 20415.

Notification procedure:

Individuals wishing to inquire whether this system of records contains information about them should contact the agency or the office where application was made or examination was taken. Individuals must provide the following information for their records to be located and identified:

a. Name.
b. Date of birth.
c. Social security number.
d. Identification number (if known).
e. Approximate date of record.
f. Title of examination or announcement with which concerned.
g. Geographic area in which consideration was requested.

Record access procedure:

Specific materials in this system have been exempted from Privacy Act provisions at 5 U.S.C.(c)(3) and (d), regarding access to records.

The section of this notice titled "Systems Exempted from Certain Provisions of the Act" indicated the kind of material exempted and the reasons for exempting them from access. Individuals wishing to request access to their non-exempt records should contact the agency or the office where application was made or examination was taken. Individuals must provide the following information for their records to be located and identified:

a. Name.
b. Date of birth.
c. Social security number.
d. Identification number (if known).
e. Approximate date of record.
f. Title of examination or announcement with which concerned.
g. Geographic area in which consideration was requested.

Individuals requesting access must also comply with the OPM's Privacy Act regulations on verification of identity and access to records (5 CFR part 297).

Contesting record procedures:

Specific materials in this system have been exempted from Privacy Act provisions at 5 U.S.C. 552a(d), regarding amendment of records. The section of this notice titled "Systems Exempted from Certain Provisions of the Act" indicates the kinds of material exempted and the reasons for exempting them from amendment. An individual may contact the agency or the office where the application is filed at any time to update qualifications, education, experience, or other data maintained in the system.

Such regular administrative updating of records should not be requested under the provisions of the Privacy Act. However, individuals wishing to request amendment of other records under the provisions of the Privacy Act should contact the agency or the office where the application was made or the examination was taken. Individuals must provide the following information for their records to be located and identified:

a. Name.
b. Date of birth.
c. Social security number.
d. Identification number (if known).
e. Approximate date of record.
f. Title of examination or announcement with which concerned.
g. Geographic area in which consideration was requested.

Individuals requesting access must also comply with the Office's Privacy Act regulations on verification of identity and amendment of records (5 CFR part 297).

Note: In responding to an inquiry or a request for access or amendment, resource specialists may contact the Office's area office that provides examination and rating assistance for help in processing the request.

Record source categories:

Information in this system of records comes from the individual to whom it applies or is derived from information the individual supplied, reports from medical personnel on physical qualifications, results of examinations that are made known to applicants, agencies, and Office records, and vouchers supplied by references or other sources that the applicant lists or that are developed.

Systems exempted from certain provisions of the act:

This system contains investigative materials that are used solely to determine the appropriateness of a request for approval of an objection to an eligible's qualifications for Federal civilian employment or vouchers received during the processing of an application. The Privacy Act, at 5 U.S.C. 552a(k)(5), permits an agency to exempt such investigative material from certain provisions of the Act, to the extent that release of the material to the individual whom the information is about would--

a. Reveal the identity of a source who furnished information to the Government under an express promise (granted on or after September 27, 1975) that the identity of the source would be held in confidence; or

b. Reveal the identity of a source who, prior to September 27, 1975, furnished information to the Government under an implied promise that the identity of the source would be held in confidence.

This system contains testing and examination materials used solely to determine individual qualifications for appointment or promotion in the Federal service. The Privacy Act, at 5 U.S.C. 552(k)(6), permits an agency to exempt all such testing or examination material and information from certain provisions of the Act, when disclosure of the material would compromise the objectivity or fairness of the testing or examination process. The Office has claimed exemptions from the requirements of 5 U.S.C. 552a(d), which relate to access to and amendment of records.

The specific material exempted include, but are not limited to, the following:

a. Answer keys.
b. Assessment center exercises.
c. Assessment center exercise reports.
d. Assessor guidance material.
e. Assessment center observation reports.
f. Assessment center summary reports.
g. Other applicant appraisal methods, such as performance tests, work samples and simulations, miniature training and evaluation exercise, structured interviews, and their associated evaluation guides and reports.
h. Item analyses and similar data that contain test keys.
i. Ratings given for validating examinations.
j. Rating schedules, including crediting plans and scoring formulas for other selection procedures.
k. Rating sheets.
l. Test booklets, including the written instructions for their preparation.
m. Test item files.
n. Test answer sheets.

OPM/GOVT-6

System name:

Personnel Research and Test Validation Records.

System location:

Assistant Director, Office of Personnel Research and Development, Career Entry and Employee Development Group, Office of Personnel Management, 1900 E Street NW., Washington, DC 20415; the Office's regional offices and agency personnel offices (or other designated offices) conducting personnel research.

Categories of individuals covered by the system:

Current and former Federal employees, applicants for Federal employment, current and former State and local government employees, and applicants for State and local government employment, selected private sector employees and applicants for sample comparison groups.

Categories of records in the system:

These records include information on education and employment history, test scores, responses to test items and questionnaires, interview data, and ratings of supervisors regarding the individuals to whom the records pertain. Additional information (race, national origin, disability status, and background) is collected from applicants for certain examinations.

Authority for maintenance of the system:

Authority for maintenance of the system includes the following with any revisions or amendments: 5 U.S.C. 1303, 3301, and 4702.

Purposes:

These records are collected, maintained, and used by the Office or other Federal agencies for the construction, analysis, and validation of written tests, and for research on and evaluation of personnel/organizational management and staffing methods, including workforce effectiveness studies. Agencies and the Office may provide each other with data collected in support of these functions. Such research includes studies extending over a period of time (longitudinal studies). Private sector data are used in research only, to evaluate Federal study results against non-Federal comparison groups. Race and national origin data are used by the Office or other agencies to evaluate the role and effects of selection procedures in the total employee staffing process. Use of these race and national origin data is limited to such evaluation, oversight and research projects conducted by the employing agencies or the Office. The records may also be used by the Office or other Federal agencies to locate individuals for personnel research. Data are collected on a project-by-project basis under conditions assuring the confidentiality of the information. No personnel action or selection is made using these research records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Under normal circumstances, no individually identifiable records will be provided. However, under those unusual circumstances when an individually identifiable record is required, proper safeguards will be maintained to protect the information collected from unwarranted invasion of personal privacy. Such protection must be specified in writing by the requester and, to the satisfaction of the agency official responsible for maintaining the data, indicate that the proposed use of the data is in compliance with the letter and spirit of the Privacy Act. Under these circumstances, the routine uses are as follows:

a. By the OPM or employing agency maintaining the records to locate individuals for personnel research or survey responses and in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related workforce studies. While published statistics and studies do not contain individual identifiers, in some instances the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference.

b. To furnish personnel records and information to the Equal Employment Opportunity Commission for use in determining the existence of adverse impact in the total selection program, reviewing allegations of discrimination, or assessing the status of compliance with Federal law.

c. To furnish information to the Merit Systems Protection Board, including its Office of the Special Counsel, in connection with actions by offices relating to allegations of discriminatory practices on the part of an agency or one of its employees.

d. To disclose, in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

e. To disclose information to another Federal agency, to a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency, either when the Government is a party to a judicial proceeding or to comply with the issuance of a subpoena.

f. To disclose information to the Department of Justice, or in a proceeding before a court, adjudicative body, or other administrative body before which the agency is authorized to appear, when:

1. The agency, or any component thereof; or
2. Any employee of the agency in his or her official capacity; or
3. Any employee of the agency in his or her individual capacity where the Department of Justice or the agency has agreed to represent the employee; or
4. The United States, where the agency determines that litigation is likely to affect the agency or any of its components, is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice or the agency is deemed by the agency to be relevant and necessary to the litigation, provided, however, that in each case it has been determined that the disclosure is compatible with the purpose for which the records were collected.

g. To provide information to a congressional office from the record of an individual in response to a request from that congressional office made at the request of that individual.

h. To provide aggregate data to non-Federal organizations participating in workforce studies. This data will be limited to individuals associated with the organization requesting the data or to data aggregated for all organizations in a study.

Policies and practices for storing, retrieving, safeguarding, and retention and disposing of records in the system:

Storage:

These records are maintained in file folders and on punched cards, disks, and magnetic tape.

Retrievability:

Records are generally maintained by project. Personal information can be retrieved by name or personal indentifier only for certain research projects such as those involving longitudinal studies.

Safeguards:

Records are kept in locked files in a locked room with access limited to authorized staff. Access to tape, disk, and other files used in data processing will be only by authorized staff.

Retention and disposal:

Records are retained for 2 years after completion of the project unless needed in the course of litigation or other administrative actions involving a research or test validation survey. Records collected for longitudinal studies will be maintained indefinitely. Manual records are destroyed by shredding or burning and magnetic tapes and disks are erased.

System manager and address:

Assistant Director, Office of Personnel Research and Development, Career Entry and Employee Development Group, Office of Personnel Management, 1900 E Street, NW, Washington, DC 20415.

Notification procedure:

Individuals wishing to inquire whether this system of records contains information about them should contact the system manager, the OPM regional office servicing the state where they are employed, or their employing agency's personnel office. Individuals must furnish the following information for their records to be located and identified:

a. Full name.
b. Date of birth.
c. If known, the title, time, and/or place of the research study in which the individual participated.
d. Social security number.
e. Signature.

Record access procedure:

Specific materials in this system have been exempted from Privacy Act provisions at 5 U.S.C. 552a(d), regarding access to records. The section of this notice titled "Systems Exempted from Certain Provisions of the Act" indicates the kinds of material exempted and the reasons for exempting them from access. Individuals wishing to request access to non-exempt records should contact the appropriate office listed in the Notification Procedure section. Individuals must furnish the following information for their records to be located and identified:

a. Full name.
b. Date of birth.
c. If known, the title, time, and/or place of the research study in which the individual participated.
d. Social security number.
e. Signature.

Individuals requesting access must also comply with the Office's Privacy Act regulations on verification of identity and access to records (5 CFR 297).

Contesting record procedure:

Specific materials in this system have been exempted from Privacy Act provisions at 5 U.S.C. 552a(d) regarding amendment of records. The section of this notice titled "Systems Exempted from Certain Provisions of the Act" indicates the kinds of materials exempted and the reasons for exempting them from amendment. Individuals wishing to request amendment of any non-exempt records should contact the appropriate office listed in the Notification Procedure section. Individuals must furnish the following information for their records to be located and identified:

a. Full name.

b. Date of birth.

c. If known, the title, time, and/or place of the research study in which the individual participated.

d. Social security number.

e. Signature.

Individuals requesting amendment must also comply with the Office's Privacy Act regulations on verification of identity and amendment of records (5 CFR part 297).

Record source categories:

Individual applicants and employees; supervisors; assessment center assessors; and agency of Office personnel files and records (e.g., race, sex, national, origin, and disability status data from OPM/GOVT-1 and OPM/GOVT-7 systems of records).

Systems exempted from certain provisions of the act:

This system contains testing and examination materials that are used solely to determine individual qualifications for appointment or promotion in the Federal service. The Privacy Act, at 5 U.S.C. 552a(k)(6), permits an agency to exempt all such testing and examination material and information from certain provisions of the Act, when the disclosure of the material would compromise the objectivity or fairness of the testing or examination process. The Office has claimed exemptions from the requirements of 5 U.S.C. 552a(d), which relates to access to and amendment of records.

The specific materials exempted include, but are not limited to, the following:

a. Answer keys.

b. Assessment center exercises.

c. Assessment center exercise reports.

d. Assessor guidance material.

e. Assessment center observation reports.

f. Assessment center summary reports.

g. Other applicant appraisal methods, such as performance tests, work samples and simulations, miniature training and evaluation exercises, structured interviews, and reports.

h. Item analyses and similar data that contain test keys.

i. Ratings given for validating examinations.

j. Rating schedules, including crediting plans and scoring formulas for other selection procedures.

k. Ratings sheets.

l. Test booklets, including the written instructions for their preparation.

m. Test item files.

n. Test answer sheets.

o. Those portions of research and development files that could specifically reveal the contents of the above exempt documents.

System name:

Applicant Race, Sex, National Origin, and Disability Status Records.

System location:

Records in this system may be located in the following offices:

a. Office of Personnel Research and Development, Career Entry and Employee Development Group, Office of Personnel Management, 1900 E Street, NW, Washington, DC 20415.

b. Office of Affirmative Recruiting and Employment, Career Entry Group, Office of Personnel Management, 1900 E Street NW, Washington, DC 20415.

c. The Office's regional offices and any register-holding area offices under the jurisdiction of a regional office.

d. Agency Personnel, Equal Employment Opportunity, or Federal Equal Opportunity Recruitment Program offices or other designated offices.

Categories of individuals covered by the system:

Current and former Federal employees and individuals who have applied for Federal employment, including--

a. Applicants for examinations administered either by the Office or by employing agencies.

b. Applicants on registers or in inventories by the Office and subject to its regulations.

c. Applicants for positions in agencies having direct hiring authority and using their own examining procedures in compliance with the Office regulations.

d. Applicants whose records are retained in an agency's Equal Opportunity Recruitment file (including any file an agency maintains on current employees from under-represented groups).

e. Applicants (including current and former Federal employees) who apply for vacancies announced under an agency's merit promotion plan.

Categories of records in the system:

The records include the individual's name: social security number; date of birth; statement of major field of study; type of current or former Federal employment status (e.g., career or temporary); applications showing work and education experience; and race, sex, national origin, and disability status data.

Note: The race and national origin information in this system is obtained by three alternative methods: (1) Use of the Office's form on which individuals identify themselves as to race and national origin; or (2) by visual observation (race) or knowledge of an individual's background (national origin); or (3) at the agency's option, from the OPM/GOVT-1 system in the case of applicants who are current Federal employees. Disability status is obtained by use of Standard Form 256. "Self Identification of Medical Disability," which allows for a description by self-identification of the handicap.

Authority for maintenance of the system:

Authority for maintenance of the system includes the following with any revisions or amendments:

5 U.S.C. 7201, Sections 4A, 4B, 15A (1) and (2), 15B(11), and 15D(11); Uniform Guidelines on Employee Selection Procedures (1978); 43 FR 38297 et seq. (August 25, 1978); 29 CFR 720.301; and 29 CFR 1613.301.

Purposes:

These records are used by OPM and agencies to--

a. Evaluate personnel/organizational measurement and selection methods.

b. Implement and evaluate agency affirmative employment programs.

c. Implement and evaluate agency Federal Equal Opportunity Recruitment Programs (including establishment of minority recruitment files).

d. Enable OPM to meet its responsibility to assess an agency's implementation of the Federal Equal Opportunity Recruitment Program.

e. Determine adverse impact in the selection process as required by the Uniform Guidelines cited in the Authority section above. (See also "Questions and Answers," on those Guidelines published at 44 FR 11996, March 2, 1979).

f. Enable reports to be prepared regarding breakdowns by race, sex, and national origin of applicants (by exams taken, and on the selection of such applicants for employment).

g. To locate individuals for personnel research.

Note: These data are maintained under conditions that ensure that the individual's identification as to race, sex, national origin, or disability status does not accompany that individual's application nor is otherwise made known when the individual is under consideration by a selecting official.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. To disclose information to the Equal Employment Opportunity Commission (EEOC), in response to its request for use in the conduct of an examination of an agency's compliance with affirmative action plan instructions and the Uniform guidelines on Employee Selection Procedures (1978), or other requirements imposed on agencies under EEOC authorities in connection with agency Equal Employment Opportunity programs.

b. To disclose information to the Merit Systems Protection Board; including the Office of its Special Counsel, in response to its request in connection with the processing of appeals, special studies relating to the civil service and other merit systems in the executive branch, investigations into allegations of prohibited personnel practices, and such other functions; e.g., as prescribed in 5 U.S.C. 1205 AND 1206, or as may be authorized by law.

c. By the Office or employing agency maintaining the records to locate individuals for personnel research or survey response and in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related workforce studies. While published statistics and studies do not contain individual identifiers, in some instances the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference.

d. To disclose information to a Federal agency in response to its request for use in its Federal Equal Opportunity Recruitment Program to the extent that the information is relevant and necessary to the agency's efforts in identifying possible sources for minority recruitment.

e. To provide information to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

f. To disclose information to another Federal agency, to a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency, either when the Government is party to a judicial proceeding or to comply with the issuance of a subpoena.

g. To disclose information to the Department of Justice, or in a proceeding before a court, adjudicative body, or other administrative body before which the agency is authorized to appear, when

1. The agency,or any component thereof; or
2. Any employee of the agency in his or her official capacity; or
3. Any employee of the agency in his or her individual capacity where the Department of Justice or the agency has agreed to represent the employee; or
4. The United States, where the agency determines that litigation is likely to affect the agency or any of its components is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice or the agency is deemed by the agency to be relevant and necessary to the litigation, provided, however, that in each case it has been determined that the disclosure is compatible with the purpose for which the records were collected.

h. To disclose, in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

Policies and practices for storing, retrieving, safeguarding, and retaining and disposing of records in the system:

Storage:

These records are maintained in file folders and on magnetic tapes and disks.

Retrievability:

Records are retrieved by the name and social security number of the individuals on whom they are maintained.

Safeguards:

Records are retained in locked metal filing cabinets in a secured room or in a computerized system accessible by confidential passwords issued only to specific personnel.

Retention and disposal:

Records are generally retained for two years, except when needed to process applications or to prepare adverse impact and related reports, or for as long as an application is still under consideration for selection purposes. When records are needed in the course of an administrative procedure or litigation, they may be maintained until the administrative procedure or litigation is completed. Manual records are shredded or burned and magnetic tapes and disks are erased.

Note: When an agency retains an automated version of any of the records in this system, maintenance of that record beyond the above retention schedules is permitted for historical or statistical analysis, but only so long as the record is not used in a determination directly affecting the individual about whom the record pertains after the prescribed destruction date.

System manager and address:

Assistant Director, Office of Personnel Research and Development, Career Entry and Employee Development Group, Office of Personnel Management, 1900 E Street, NW, Washington, DC 20425.

Notification procedure:

Those individuals wishing to inquire if this system contains information about them should contact the system manager; the Office's regional offices covering the state where the application for Federal employment was filed; or the personnel, Equal Employment Opportunity, or Equal Employment Opportunity Recruitment office or other designated office where they took an exam, filed an application, or where they are employed. Individuals must furnish the following information for their records to be located and identified:

a. Name.
b. Social security number.
c. Title of examination, position, or vacancy announcement for which they filed.
d. The OPM or employing agency office where they are employed or submitted the information.
e. Signature.

Record access procedure:

Individuals wishing to request access to records about themselves should contact the appropriate office shown in the Notification Procedure section. Individuals must furnish the following information for their records to be located and identified:

a. Name.
b. Social security number.
c. Title of examination, position, or vacancy announcement for which they filed.
d. The OPM or employing agency office where they are employed or submitted the information.
e. Signature.

An individual requesting access must also follow OPM's Privacy Act regulations on verification of identity and access of records (5 CFR part 297).

Contesting record procedure:

Individuals wishing to request amendment of their records should contact the appropriate office shown in the Notification Procedure section. Individuals must furnish the following information for their records to be located and identified:

a. Name.
b. Social security number.
c. Title of examination, position, or vacancy announcement for which they filed.
d. The OPM or employing agency office where they are employed or submitted the information.
e. Signature.

An individual requesting amendment must also follow OPM's Privacy Act regulations on verification of identity and amendment of records (5 CFR part 297).

Record source categories:

Information is provided by the individual to whom the record pertains, on such forms as Personnel Research Questionnaire 79-1 (OPM Form 1377), Background Survey Questionnaire 79-2 (OPM Form 1386), or equivalent forms, or is obtained directly from other agency or OPM records (e.g., race, sex, national origin, and disability status data may be obtained from the OPM/GOVT-1, General Personnel Records system).

OPM/GOVT-9

System name:

File on Position Classification Appeals, Job Grading Appeals, and Retained Grade or Pay Appeals.

System location:

These records are located at the Office of Personnel Management, 1900 E Street NW, Washington, DC 20415, OPM regional offices, agency personnel offices (or other designated offices), and Federal records centers.

Categories of individuals covered by the system:

a. Current and former Federal employees who have filed a position classification appeal or a job grading appeal with Agency Compliance and Evaluation; Office of Personnel Management; an OPM regional office; or with their agency.

b. Current and former Federal employees who have filed a retained grade or pay appeal with OPM's Agency Compliance and Evaluation; or an OPM regional office.

Categories of records in the system:

This system of records contains information or documents relating to the processing and adjudication of a position classification appeal, job grading appeal, or retained grade or pay appeal. The records may include information and documents regarding a personnel action of the agency involved and the decision or determination rendered by an agency regarding the classifying or grading of a position or whether an employee is to remain in a retained grade or pay category. This system may also include transcripts of agency hearings and statements from agency employees.

Note: This system notice also covers agency files created when: (a) an employee appeals a position classification or job grading decision to OPM or within the agency regardless of whether that agency appeal decision is further appealed to OPM; and (b) an employee files a retained grade or pay appeal with OPM.

Authority for maintenance of the system:

Authority for maintenance of the system includes the following with any revisions or amendments: 5 U.S.C. 5112, 5115, 5346, and 5366.

Purpose:

These records are primarily used to document the processing and adjudication of a position classification appeal, job grading appeal, or retained grade or pay appeal. Internally, OPM may use these records to locate individuals for personnel research.

Routine uses of records maintained in the system, including categories of users and the purpose of such uses:

These records and information in these records may be used:

a. To disclose pertinent information to the appropriate Federal, State, or local government agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, when the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation.

b. To disclose information to the Office of Management and Budget at any stage in the legislative coordination and clearance process in connection with private relief legislation as set forth in OMB Circular No. A-19.

c. To provide information to a congressional office from the record of an individual in response to an inquiry from that congressional office made at the request of that individual.

d. To disclose information to any source from which additional information is requested in the course of adjudicating a position classification appeal, job grading appeal, or retained grade or pay appeal to the extent necessary to identify the individual, inform the source of the purpose(s) of the request, and identify the type of information requested.

e. To disclose information to a Federal agency, in response to its request, in connection with the hiring, retaining or assigning of an employee, issuing a security clearance, conducting a security or suitability investigation of an individual, and classifying positions, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

f. To disclose information to another Federal agency, to a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency, either when the Government is a party to a judicial proceeding or to comply with the issuance of a subpoena.

g. To disclose information to the Department of Justice, or in a proceeding before a court, adjudicative body, or other administrative body before which the agency is authorized to appear, when:

1. The agency, or any component thereof; or

2. Any employee of the agency in his or her official capacity; or

3. Any employee of the agency in his or her individual capacity where the Department of Justice or the agency has agreed to represent the employee; or

4. The United States, where the agency determines that litigation is likely to affect the agency or any of its components is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice or the agency is deemed by the agency to be relevant and necessary to the litigation, provided, however, that in each case it has been determined that the disclosure is compatible with the purpose for which the records were collected.

h. By the Office or an agency in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related workforce studies. While published statistics and studies do not contain individual identifiers, in some instances the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference.

i. By the National Archives and Records Administration in records management inspections.

j. To disclose, in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

k. To disclose information to officials of the Merit Systems Protection Board, including its Office of Special Counsel, when requested in connection with appeals, special studies of the civil service and other merit systems, review of Office rules and regulations, investigations of alleged or possible prohibited personnel practices, and such other functions; e.g., as promulgated in 5 U.S.C. 1205 and 1206, or as may be authorized by law.

l. To disclose information to the Equal Employment Opportunity Commission when requested in connection with investigations into alleged or possible discrimination practices in the Federal sector, examination of Federal affirmative employment programs, compliance by Federal agencies with the Uniform Guidelines on Employee Selection Procedures, or other functions vested in the Commission, and to otherwise ensure compliance with the provisions of 5 U.S.C. 7201.

m. To disclose information to the Federal Labor Relations Authority or its General Counsel when requested in connection with investigations of allegations of unfair labor practices or matters before the Federal Service Impasses Panel.

Policies and practices for storage, retrieval, safeguards, and retention and disposal of records in the system:

Storage:

These records are maintained in file folders and binders and on index cards, magnetic tape, disks, and microfiche.

Retrieval:

These records are retrieved by the subject's name, and the name of the employing agency of the individual on whom the record is maintained.

Safeguards:

These records are located in lockable metal filing cabinets or automated media in a secured room, with access limited to those persons whose official duties require such access.

Retention and disposal:

Records related to position classification appeal, job grading appeal, and retained grade or pay appeal files are maintained for seven years after closing action on the case. Records are destroyed by shredding, burning, or erasing as appropriate.

System manager and address:

Assistant Director for Agency Compliance and Evaluation, Personnel Systems and Oversight Group, Office of Personnel Management, 1900 E Street NW, Washington, DC 20415.

Notification procedure:

Individual wishing to inquire whether this system of records contains information about them should—

a. For records pertaining to retained grade or pay appeals, contact the system manager or the appropriate OPM regional office.

b. For records pertaining to a position classification appeal or job grading appeal, where the appeal was made only to OPM, contact the system manager or the OPM regional office, as appropriate.

c. For records pertaining to a position classification appeal or job grading appeal filed with both the agency and OPM, contact the agency personnel officer, other designated officer, or the system manager, or the OPM regional office, as appropriate.

Individual must furnish the following information for their records to be located and identified:

a. Full name.

b. Date of birth.

c. Agency in which employed when the appeal was filed and the approximate date of the closing of the case.

d. Kind of action (e.g., position classification appeal, job grading appeal, or retained grade or pay appeal).

Record access procedure:

Individuals who have filed a position classification appeal, job grading appeal, or a retained grade or pay appeal, must be provided access to the record. However, after the appeal has been closed, an individual may request access to the official copy of the records by writing the official indicated in the Notification Procedure section. Individuals must furnish the following information for their records to be located and identified:

a. Full name.

b. Date of birth.

c. Agency in which employed when the appeal was filed and the approximate date of the closing of the case.

d. Kind of action (e.g., position classification appeal, job grading appeal, or retained grade or pay appeal).

Individuals requesting access must also follow OPM's Privacy Act regulations on verification of identity and access to records (5 CFR Part 297).

Contesting record procedure:

Review of requests from individuals seeking amendment of their records that have previously been or could have been the subject of a judicial or quasi-judicial action will be limited in scope. Review of amendment requests of these records will be restricted to determining if the record accurately documents the action of the agency or administrative body ruling on the case, and will not include a review of the merits of the action, determination, or finding. Individuals wishing to request an amendment to their records to correct factual errors should contact the appropriate official indicated in the Notification Procedure section. Individuals must furnish the following information for their records to be located and identified:

a. Full name.

b. Date of birth.

c. Agency in which employed when the appeal was filed and the approximate date of the closing of the case.

d. Kind of action (e.g., position classification appeal, job grading appeal, or retained grade or pay appeal).

Individuals requesting amendment of their records must also follow OPM's Privacy Act regulations on verification of identity and amendment of records (5 CFR part 297).

Record source categories:

a. Individual to whom the record pertains.

b. Agency and/or OPM records relating to the action.

c. Statements from employees or testimony of witnesses.

d. Transcript of hearings.

OPM/GOVT-10

System name:

Employee Medical File System Records.

a. For current employees, records are located in agency medical, personnel, dispensary, health, safety, or other designated offices within the agency.

b. For former employees, most records will be located in an Employee Medical Folder (EMF) stored in Federal Records Storage Centers operated by the National Archives and Records Administration (NARA). In some cases, agencies may retain for a limited time (e.g., up to 3 years) some records on former employees.

Note: The records in this system of records are "owned" by the Office of Personnel Management (Office) and should be provided to those Office employees who have an official need or use for those records. Therefore, if an employing agency is asked by an Office employee to access the records within this system, such a request should be honored.

Categories of individuals covered by the system:

Current and former Federal civilian employees.

Categories of records in the system:

Records maintained in this system include--

a. Medical records, forms, and reports completed or obtained when an individual applies for a Federal job and is subsequently employed;

b. Medical records, forms, and reports completed during employment as a condition of employment, either by the employing agency or by another agency, State or local government entity, or a private sector entity under contract to the employing agency;

Note 1: Records maintained by an agency dispensary are included in the system only when they are the result of a condition of employment or related to an on-the-job occurrence.

c. Record resulting from the testing of the employee for use of illegal drugs under Executive Order 12564. Such records may be retained by the agency (e.g., by the agency Medical Review Official) or by a contractor laboratory. This includes records of negative results, confirmed or unconfirmed positive test results, and lists of who has been tested, who failed to report for testing, and related documents.

d. Reports of on-the-job injuries and medical records, forms, and reports generated as a result of the filing of a claim for Workers' Compensation, whether the claim is accepted or not. (The official compensation claim file is not covered by this system; rather, it is part of the Department of Labor's Office of Workers' Compensation Program (OWCP) system or records).

e. All other medical records, forms, and reports created on an employee during his/her period of employment, including any retained on a temporary basis (e.g., those designated to be retained only during the period of service with a given agency) and those designated for long-term retention (i.e., those retained for the entire duration of Federal service and for some period of time after).

Note 2: Records pertaining to employee drug or alcohol abuse counseling or treatment, and those pertaining to other employee counseling programs conducted under Health Service Program established pursuant to 5 U.S.C. Chapter 79, are not part of this system of records.

Note 3: Only Routine Use "u" identified for this system of records is applicable to records relating to drug testing under Executive Order 12564. Further, such records shall be disclosed only to a very limited number of officials within the agency, generally only to the agency Medical Review Official (MRO), the administrator of the agency Employee Assistance Program, and any supervisory or management official within the employee's agency having authority to take the adverse personnel action against the employee.

Authority for maintenance of the system:

Authority for maintenance of the system includes the following with any revisions or amendments:

Executive Orders 12107, 12196, and 12564 and 5 U.S.C. chapters 11, 31, 33, 43, 61, 63, and 83.

Purpose:

Records in this system of records are maintained for a variety of purposes, which include the following:

a. To ensure that records required to be retained on a long-term basis to meet the mandates of law, Executive order, or regulations (e.g., the Department of Labor's Occupational Safety and Health Administration (OSHA) and OWCP regulations), are so maintained.

b. To provide data necessary for proper medical evaluations and diagnoses, to ensure that proper treatment is administered, and to maintain continuity of medical care.

c. To provide an accurate medical history of the total health care and medical treatment received by the individual as well as job and/or hazard exposure documentation and health monitoring in relation to health status and claims of the individual.

d. To enable the planning for further care of the patient.

e. To provide a record of communications among members of the health care team who contribute to the patient's care.

f. To provide a legal document describing the health care administered and any exposure incident.

g. To provide a method for evaluating quality of health care rendered and job-health-protection including engineering protection provided, protective equipment worn, workplace monitoring, and medical exam monitoring required by OSHA or by good practice.

h. To ensure that all relevant, necessary, accurate, and timely data are available to support any medically-related employment decisions affecting the subject of the records (e.g., in connection with fitness-for-duty and disability retirement decisions).

i. To document claims filed with and the decisions reached by the OWCP and the individual's possible reemployment rights under statutes governing that program.

j. To document employee's reporting of on-the-job injuries or unhealthy or unsafe working conditions, including the reporting of such conditions to the OSHA and actions taken by that agency or by the employing agency.

k. To ensure proper and accurate operation of the agency's employee drug testing program under Executive Order 12564.

Routine uses of records maintained in the system, including categories of users and the purpose of such uses:

Note: With the exception of Routine Use "u," none of the other Routine Uses identified for this system of records are applicable to records relating to drug testing under Executive Order 12564. Further, such records shall be disclosed only to a very limited number of officials within the agency, generally only to the agency Medical Review Official (MRO), the administrator of the Agency Employee Assistance Program, and the management official empowered to recommend or take adverse action affecting the individual.

These records and information in these records may be used--

a. To disclose information to the Department of Labor, Veterans Administration, Social Security Administration, or a national, State or local social security type agency, when necessary to adjudicate a claim (filed by or on behalf of the individual) under a retirement, insurance, or health benefit program.

b. To disclose information to a Federal, State, or local agency to the extent necessary to comply with laws governing reporting of communicable disease.

c. To disclose information to another Federal agency, to a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency, either when the Government is a party to a judicial proceeding or to comply with the issuance of a subpoena.

d. To disclose information to the Department of Justice, or in a proceeding before a court, adjudicative body, other administrative body before which the agency is authorized to appear, when:

1. The agency, or any component thereof; or

2. Any employee of the agency in his or her official capacity; or

3. Any employee of the agency in his or her individual capacity where the Department of Justice or the agency has agreed to represent the employee; or

4. The United States, where the agency determines that litigation is likely to affect the agency or any of its components is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice or the agency is deemed by the agency to be relevant and necessary to the litigation, provided, however, that in each case it has been determined that the disclosure is compatible with the purpose for which the records were collected.

e. To disclose in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

f. To disclose pertinent information to the appropriate Federal, State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order when the disclosing agency becomes aware of an indication of a violation or peritoneal violation of civil or criminal law or regulation.

g. To disclose information to the Office of Management and Budget at any stage in the legislative coordination and clearance process in connection with the private relief legislation as set forth in OMB Circular No. A-19.

h. To disclose information to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

i. To disclose information to officials of the Merit Systems Protection Board including its Office of Special Counsel, the Federal Labor Relations Authority and its general counsel, the Equal Employment Opportunity Commission, arbitrators, and hearing examiners to the extent necessary to carry out their authorized duties.

j. To disclose information to survey team members from the Joint Commission on Accreditation of Hospitals (JCAH) when requested in connection with an accreditation review, but only to the extent that the information is relevant and necessary to meet the JCAH standards.

k. To disclose information to the National Archives and Records Administration in records management inspections.

l. To disclose information to health insurance carriers contracting with the Office to provide a health benefits plan under the Federal Employees Health Benefits Program information necessary to verify eligibility for payment of a claim for health benefits.

m. By the agency maintaining or responsible for generating the records to locate individuals of health research or survey response and in the production of summary descriptive statistics and analytical studies (e.g., epidemiological studies) in support of the function for which the records are collected and maintained. While published statistics and studies do not contain individual identifiers, in some instances the selection of elements of data included in the study might be structured in such a way as to make the date individually identifiable by inference.

n. To disclose information to the Office of Federal Employees Group Life Insurance that is relevant and necessary to adjudicate claims.

o. To disclose information, when an individual to whom a record pertains is mentally incompetent or under other legal disability, to any person who is responsible for the care of the individual, to the extent necessary.

p. To disclose to the agency decision, or other written communications issued to the employee, in connection with an examination ordered by the agency under--

1. Medical evaluation (formerly Fitness for Duty) examinations procedures; or

2. Agency-filed disability retirement procedures.

q. To disclose to a requesting agency, organization, or individual the home address and other information concerning those individuals who it is reasonably believed might have contracted an illness or been exposed to or suffered from a health hazard while employed in the Federal workforce.

r. To disclose information to a Federal agency, in response to its request or at the initiation of the agency maintaining the records, in connection with the retention of an employee, the issuance of a security clearance, the conducting of a suitability or security investigation of an individual, the classifying of jobs, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, or the lawful, statutory, administrative, or investigative purpose of the agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

s. To disclose to any Federal, State, or local government agency, in response to its request or at the initiation of the agency maintaining the records, information relevant and necessary to the lawful, statutory, administrative, or investigatory purpose of that agency as it relates to the conduct of job related epidemiological research or the ensurance of compliance with Federal, State, or local government laws on health and safety in the work environment.

t. To disclose to officials of labor organizations recognized under 5 U.S.C. chapter 71, analyses using exposure or medical records and employee exposure records, in accordance with the records access rules of the Department of Labor's OSHA, and subject to the limitations at 29 CFR 1910.20(e)(2)(iii)(B).

u. To disclose the results of a drug test of a Federal employee pursuant to an order of a court of competent jurisdiction where required by the United States Government to defend against any challenge against any adverse personnel action.

v. To disclose information to contractors, grantees, or volunteers performing or working on a contract, service, grant, cooperative agreement or job for the Federal Government.

Policies and practices of storing, retrieving, safeguarding, and retaining and disposing of records in the system:

Storage:

Records are stored in file folders, on microfiche, in automated record systems, and on file cards, x-rays, or other medical reports and forms.

Retrievability:

Records are retrieved by the employee's name, date of birth, social security number, or any combination of those identifiers.

Safeguards:

Records are stored in locked file cabinets or locked rooms. Automated records are protected by restricted access procedures and audit trails. Access to records is strictly limited to agency or contractor officials with a bona fide need for the records.

Retention and disposal:

Some records are retained for the duration of employment with a given agency. Other records are retained for the duration of Federal employment, plus 30 years. Records arising in connection with employee drug testing under Executive Order 12564 are generally retained for up to two years. Records are destroyed by shredding, burning, or by erasing the disk.

System manager and address:

Assistant Director for Workforce Information, Personnel Systems and Oversight Group, U.S. Office of Personnel Management, 1900 E Street, NW, Washington, DC 20415.

Notification procedure:

Individuals wishing to inquire whether this system of records contains records on them should follow the appropriate procedure listed below.

a. Current Employees. Current employee should contact their employing agency's personnel, dispensary, health, safety, medical, or other designated office responsible for maintaining the records, as identified in the agency's internal issuance covering this system. Individuals must furnish such identifying information as required by the agency for their records to be located and identified.

b. Former employees. Former employees should contact their former agency's personnel, dispensary, health, safety, medical, or other designated office responsible for maintaining the records, as identified in the agency's internal issuance covering this system. Additionally, for access to their EMF, they should submit a request to: OPF/EMF Access Unit, Office of Personnel Management, P.O. Box 18673, St. Louis, Missouri 63118.

Requests to the Office's OPF/EMF Access Unit in St. Louis, Missouri must submit the following information for their records to be located and identified:

1. Full name.

2. Date of birth.
3. Social security number.
4. Agency name, dates, and location of last Federal service.

Records access procedure:

a. Current employees should contact the appropriate agency office as indicated in the "Notification Procedure" section and furnish such identifying information as required by the agency to locate and identify the records sought.

b. Former employees should contact the appropriate agency office as indicated in the Notification Procedure section and furnish such identifying information as required by the agency to locate and identify the records sought. Former employees may also submit a request to the Office's OPF/EMF Access Unit in St. Louis, Missouri for access to their EMF. When submitting a request to the Office's OPF/EMF Access Unit in St. Louis, Missouri, the individual must furnish the following information to locate and identify the record sought:

1. Full name.
2. Date of birth.
3. Social security number.
4. Agency name, date, and location of last Federal service.
5. Signature.

c. Individuals requesting access must also comply with the Office's Privacy Act regulations on verification of identity and access to records (5 CFR Part 297).

Contesting records procedure:

Because medical practitioners often provide differing, but equally valid medical judgments and opinions when making medical evaluations of an individual's health status, review of requests from individuals seeking amendment of their medical records, beyond correction and updating of the records, will be limited to consideration of including the differing opinion in the record rather than attempting to determine whether the original opinion is accurate.

Individuals wishing to amend their records should--

a. For a current employee, contact the appropriate agency office identified in the Notification Procedure section and furnish such identifying information as required by the agency to locate and identify the records to be amended.

b. For a former employee, contact the appropriate agency office identified in the Notification Procedure section and furnish such identifying information as required by the agency to locate and identify the record to be amended. Former employees may also submit a request to amend records in their EMF to the system manager. When submitting a request to the system manager, the individual must furnish the following information to locate and identify the records to be amended:

1. Full name.
2. Date of birth.
3. Social security number.
4. Agency name, date, and location of last Federal service.
5. Signature.

c. Individuals seeking amendment of their records must also follow the Office's Privacy Act regulations on verification of identity and amendment of records (5 CFR Part 297).

Records source categories:

Records in this system are obtained from--

a. The individual to whom the records pertain.

b. Agency employee health unit staff.

c. Federal and private sector medical practitioners and treatment facilities.

d. Supervisors/managers and other agency officials.

e. Other agency records.

EEOC/GOVT-1

System name:

Equal Employment Opportunity Complaint Records and Appeal Records.

System location:

Equal employment opportunity complaint files are maintained in an Office of Equal Employment Opportunity or other designated office of the agency or department with which the complaint is filed. Appeals of final decisions or orders of agencies or departments on complaints of discrimination, petitions for review of decisions of the Merit Systems Protection Board, and documents pertaining to review of final decisions in negotiated grievance actions are maintained in the Office of Review and Appeals, Equal Employment Opportunity Commission, 2401 E Street, NW, Washington, D.C. 20506.

Categories of individuals covered by the system:

Applicants for federal employment and current and former federal employees who file complaints of discrimination or reprisal, or who file appeals from agency decisions, petitions for review of decisions of the Merit Systems Protection Board, or requests for review of final decisions in negotiated grievance actions.

Categories of records in the system:

This system of records contains information or documents relating to a decision or determination made by an agency or the Commission affecting an individual. This system of records includes files of Fair Labor Standards Act complaints (Equal Pay Act), Age Discrimination in Employment Act complaints, handicap discrimination complaints, complaints filed under section 717 of Title VII (42 U.S.C. 2000e-16), and all appeals.

Authority for maintenance of the system:

42 U.S.C. section 2000e-16(b) and (c); 5 U.S.C. section 552a; 29 U.S.C. sections 204(f) and 206(d); 29 U.S.C. section 633(a); 29 U.S.C. section 791; Reorg. Plan No. 1 of 1978, 43 FR 19807 (May 9, 1978); Exec. Order No. 12106, 44 FR 1053 (Jan. 3, 1979).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in the records may be used:

a. To respond to a request from a Member of Congress regarding the status of an appeal, complaint, or grievance.

b. To provide information to the public on the decision of an appeal, complaint, or grievance required by the Freedom of Information Act.

c. To respond to a court subpoena and/or refer to a district court in connection with a civil suit.

d. To adjudicate an appeal, complaint or grievance.

e. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained or for related personnel management functions or manpower studies. The records may also be utilized to respond to general requests for statistical information (without personal identification of individuals) under the Freedom of Information Act or to locate individuals for personnel research.

f. To refer pertinent information to the appropriate Federal, State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order where there is an indication of a violation or potential violation of civil or criminal law or regulation.

best copy available

g. To request information from a Federal, State, or local agency maintaining civil, criminal, or other information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or issuance of a grant, license, or other benefit.

h. To disclose information to the Office of Management and Budget at any stage in the legislative coordination and clearance process in connection with private relief legislation as set forth in OMB Circular No. A-19.

i. To provide information to a congressional office from the record of an individual in response to an inquiry from a congressional office made at the request of that individual.

j. To disclose information to another Federal agency or to a court when the Government is party to a suit before the court.

k. To disclose information to persons named as alleged discriminating officials in Equal Employment Opportunity (EEO) Discrimination Complaint cases, to allow such persons the opportunity to respond to allegations of discrimination which are made against them during the course of the discrimination complaint process.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

See Storage, Retrievability, Safeguards, Access, Retention, and Disposal below.

Storage:

These records are maintained in file folders, binders and index cards.

Retrievability:

These records are indexed by the names of the individuals on whom they are maintained.

Safeguards:

Access to and use of these records are limited to those persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

Retention and disposal:

These records are maintained at the office in which the complaint originated for one year after resolution of the case and then transferred to the Federal Records Center where they are destroyed after three additional years.

System manager(s) and address:

a. Within the agency or department where the complaint of discrimination or reprisal was filed, the system manager is the Director of the Office of Equal Employment Opportunity or other official designated as responsible for the administration and enforcement of equal employment opportunity laws and regulations within the agency or department.

b. Where an individual has appealed a final agency decision or order on an equal employment opportunity matter to the EEOC, petitioned the EEOC to review a decision of the Merit Systems Protection Board, or requested the EEOC to review a final decision in a negotiated grievanced action, the system manager of the appeal or petition file is the Director of the Office of Review and Appeals, Equal Employment Opportunity Commission, 2401 E Street, NW, Washington, D.C. 20506.

Notification procedure:

Contact the appropriate system manager above. Individuals who have filed appeals or grievances are aware of that fact and have been provided a copy of the record. They may, however, contact the appropriate system manager indicated above regarding the existence of such records pertaining to them. It is necessary to furnish the following information when making inquiries about records:

a. Full name.
b. Date of birth.
c. Kind of action taken by the agency.

Record access procedures:

Individuals who have appealed or filed a grievance about a decision or determination made by an agency or about conditions existing in an agency already have been provided a copy of the record. The contest, amendment, or correction of an appeal or grievance record is permitted during the prosecution of an appeal, grievance, or complaint by the individual to whom the record pertains. However, after an appeal, grievance, or complaint case has been closed, an individual may gain access to, or contest the official copy of, an appeal, grievance, or complaint record by writing the appropriate system manager indicated above. Individuals should provide their name, date of birth, agency in which employed, approximate date, and the kind of action taken by the agency when requesting access to, or contest of, records.

Contesting record procedures:

Same as record access procedures above.

Record source categories:

The sources of these records are:

a. Individual to whom the record pertains.
b. Agency and/or Commission officials.
c. Affidavits or statements from employee.
d. Testimony of witnesses.
e. Official documents relating to the appeals, grievance, or complaint.
f. Correspondence from specific organizations or persons.

FEMA/GOVT-1

System name:

National Defense Executive Reserve System.

Security classification:

Unclassified.

System location:

Records may be maintained in the personnel office, emergency preparedness unit, or other designated offices located at the local installation of the department or agency which currently employs the individual.

Categories of individuals covered by the system:

Applicants for an incumbents of NDER assignments.

Categories of records in the system:

The system contains FEMA Form 85-3, National Defense Executive Reserve Qualifications Statement, which includes such items as name, date of birth, social security number, and other personnel and administrative records, skills inventory, training data, and other related records necessary to coordinate and administer the NDER program.

Authority for maintenance of the system:

Defense Production Act of 1950, E.O. 11179 dated September 22, 1964, as amended by E.O. 12148 dated July 20, 1979.

Purpose(s):

For the purpose of establishing units of the NDER in Federal departments and agencies in accordance with E.O. 11179, as amended by E.O. 12148. Individuals voluntarily apply for assignments but would not be considered Government employees to perform emergency duties unless the President of the United States declared a mobilization. Assignments are made in three year increments and may either be redesignated or terminated. Individuals may at any time request voluntary termination.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(a) Names and addresses may be made available to the Association of the National Defense Executive Reserve and the National Defense Executive Reserve Conference Association to facilitate training and relevant information dissemination efforts for reservists in the NDER program;

(b) to the appropriate agency whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or issued pursuant thereto: to a Federal, State, or local agency maintaining civil, criminal, regulatory, licensing or other enforcement information or other pertinent information, such as current licenses, if necessary, to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit;

(c) to the National Archives and Records Administration during records management inspections conducted under authority of 44 U.S.C. 2904 and 2906;

(d) to a Member of Congress or to a Congressional staff member in response to an inquiry of the Congressional office made at the request of the individual about whom the record is maintained;

(e) to another Federal agency, to a court, or a party in litigation before a court or in administrative proceeding being conducted by a Federal agency, either when the Government is a party to a judicial proceeding or in order to comply with the issuance of a subpoena; and

(f) to disclose, in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records may be stored in file folders, file cards, on microfiche, and/or automated record systems.

Retrievability:

By name, personal data, skills or agency.

Safeguards:

Records are stored in locked file cabinets or locked rooms. Automated records are protected by restricted access procedures and audit trails. Access to records is strictly limited to those personnel whose official duties require access and who are properly screened, cleared, and trained.

Retention and disposal:

Records of current NDER reservists are maintained for duration of assignment which is based on three year incremental assignments and can either be redesignated or terminated. Records on terminated NDER reservists are kept for five years after termination from program and then destroyed. Applications of those individuals who apply for assignment and which are rejected are kept for five years and then destroyed.

System manager(s) and address:

Associate Director, National Preparedness Programs Directorate, Federal Emergency Management Agency, Washington, DC 20472, will maintain a computerized record of all applications and assignments of NDER reservists for the Federal Government as well as the personnel files for all individuals assigned to the Federal Emergency Management Agency. The departments or agencies will maintain their own personnel records on those individuals assigned to their respective department or agency.

Notification procedure:

Individuals wishing to inquire whether this system of records contains information about themselves should submit their inquiries to; (a) NDER applicants/assignees to FEMA Headquarters-Federal Emergency Management Agency, Associate Director, National Preparedness Programs Directorate, Washington, DC 20472; (b) NDER applicants/assignees to a FEMA Regional Office-Federal Emergency Management Agency, appropriate Regional Director as identified in Appendix AA to FEMA systems of records notices; (c) NDER applicants/assignees to Federal departments and/or agencies other than FEMA-contact the agency personnel, emergency preparedness unit, or Privacy Act Officer to determine location of records within the department/agency. Individuals should include their full name, date of birth, social security number, current address, and type of assignment/agency they applied with to be an NDER reservist.

Record access procedures:

Same as Notification procedures above.

Contesting record procedures:

Same as Notification procedures above. The letter should state clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought. FEMA Privacy Act Regulations are promulgated in 44 CFR Part 6. Individuals applying to or assigned to Federal agencies other than FEMA should consult the appropriate department's/agency's Privacy Act Regulations which can be found in that department's/agency's Code of Federal Regulations or Federal Register notice.

Record source categories:

The individuals to whom the record pertains. Prior to being designated as an NDER reservist, the applicant must successfully complete a background investigation conducted by the Office of Personnel Management which may include reference checks of prior employers, educational institutions, police departments, neighborhoods, and present and past friends and acquaintances.

Systems exempted from certain provisions of the act:

None.

System name:

Employment Under Commercial Activities Contracts.

System location:

Records on former employees are located at the civilian Federal agency from where the employee was involuntarily separated and at the commercial contract activity.

Categories of individuals covered by the system:

Former Federal employees involuntarily separated from Government employment as a result of a commercial activity contract.

Categories of records in the system:

Records in the system include name and social security number of employees involuntarily separated from Government employment as a result of a contract and who accepted or rejected offers of employment and the monetary value of pay and benefits offered.

Authority for maintenance of the system:

Title 5 CFR 550.701(b)(6); E.O. 11257, November 17, 1965; and FPR Temporary Regulation 63, Supplement 1.

Purpose(s):

The purpose of the system is to provide Government agencies with necessary information on former Federal employees hired by contractors to ensure the proper distributions of severance pay by the Government.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. In the event that a record indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, or local, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation, or order issued pursuant thereto.

b. A record from this system of records may be disclosed to a Member of Congress or to a Congressional staff member in response to an inquiry of the congressional office made at the request of the individual about whom the record is maintained.

c. A record from this system if records may be disclosed to the commercial activity contractor to provide the contractor with the necessary information on former Federal employees who could receive employment offers from the contractor.

d. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of any employee to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

e. A record from this system of records may be disclosed to an authorized appeal or grievance examiner, formal complaints examiner, equal employment opportunity investigator, arbitrator, or other grievance, complaint, or appeal filed by an employee. A record from this system of records may be disclosed to the Office of Personnel Management in accordance with the agency's responsibility for evaluation of Federal personal management.

f. This information contained in this system of records may be disclosed to the Office of Management and Budget in connection with the review of private relief legislation at any stage of the legislative coordination and clearance process.

g. The information contained in this system of records may be disclosed to officials of labor organizations recognized under 5 U.S.C. chapter 71 when relevant and necessary to their duties of exclusive representation concerning personnel policies, practices, and matters affecting working conditions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records are maintained in file folders and on lists and forms.

Retrievability:

These records are retrieved by name and by social security number.

Safeguards:

When not in use by an authorized person, the records are stored in lockable file cabinets or in secured rooms. Information is released only to authorized officials on a need-to-know basis.

Retention and disposal:

Records in this system are to be retained for four years similar to the contractor requirements of FPR 1-20.301-2(a).

System manager(s) and address:

Personnel officer of the department or agency where a subject individual was last employed.

Notification procedure:

Individuals wishing to inquire whether this system of records contains information about them should contact the contracting officer or personnel officer at the agency where the individual was last employed. Individuals must furnish the following information for their records to be located and identified: Full name and the department of agency and component at which previously employed.

Record access procedures:

Individuals wishing to request access to their records should contact the contracting officer or personnel officer where the individual was last employed. Individuals must furnish their full name and department or agency and component with which employed in order for their records to be located and identified.

Contesting record procedures:

Individuals wishing to request amendment of their records should contact the department or agency contracting officer or personnel officer at the activity where they were last employed. Individuals must furnish their full name and the name of their last employing agency, including duty station.

Record source categories:

Information in this system is provided by the personnel office, contracting officer, and finance officer of the department or agency where the individual was last employed and from the commercial activities contractor.

System name:

Travel Charge Card Program.

System location:

This system of records is located in the finance office of the local installation of the department or agency which the individual traveled. Records necessary for the contractor to perform under the contract are located at the contractor's facility.

Categories of individuals covered by the system:

Individuals covered by the system are current Federal employees who have their own Government assigned charge card and all other Federal employees and authorized individuals using the GTS account number who are all on travel.

Categories of records in the system:

Records include name, address, social security number, employment information, telephone numbers, information needed for identification verification, travel authorizations and vouchers, charge card applications, charge card receipts, terms and conditions for use of charge cards, and monthly reports from contractor(s) showing charges to individual account numbers, balances, and other types of account analyses.

Authority for maintenance of the system:

5 U.S.C. 5707 and implementing Federal Travel Regulations, FPMR 101-7.

Purpose(s):

To assemble in one system information to provide Government agencies with (1) necessary information on the commercial travel and transportation payment and expense control system which provides travelers charge cards and the agency an account number for official travel and related travel expenses on a worldwide basis, (2) attendant operational and control support, and (3) management information reports for expense control purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. To disclose information to a Federal, State, local, or foreign agency responsible for investigating, prosecuting, enforcing, or carrying out a statute, rule, regulation, or order, where the General Services Administration becomes aware of a violation or potential violation of civil or criminal law or regulation.

b. To disclose information to a Member of Congress or a congressional staff member in response to an inquiry from that congressional office made in behalf of a constituent.

c. To disclose information to the contractor in providing necessary information for issuing credit cards.

d. To disclose information to a requesting Federal agency in connection with hiring or retaining an employee; issuing a security clearance; reporting an employee investigation; clarifying a job; letting a contract; or issuing a license, grant, or other benefit by the requesting agency where the information is relevant and necessary for a decision.

e. To disclose information to an appeal, grievance, or formal complaints examiner; equal employment opportunity investigator; arbitrator; exclusive representative; or other official engaged in investigating, or settling a grievance, complaint, or appeal filed by an employee.

f. To disclose information to officials of labor organizations recognized under Pub. L. 95-454, when necessary to their duties of exclusive representation on personnel policies, practices, and matters affecting working conditions.

g. To disclose information to a Federal agency for accumulating reporting data and monitoring the system.

h. To disclose information in the form of listings, reports, and records of all common carrier transactions including refunds and adjustments to GSA by the contractor to enable audits of carrier charges to the Government.

i. To disclose information to GSA contract agents assigned to participating agencies for billing of travel expenses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders. Computer records within a computer and attached equipment.

Retrievability:

Filed by name, social security number, and/or credit card number.

Safeguards:

Paper records stored in lockable file cabinets or secured rooms. Computerized records protected by use of access codes and entry logs. There is restricted access to credit card account numbers.

Retention and disposal:

Records are kept for three years and then destroyed.

System manager(s) and address:

Director, Office of Transportation, Office of Federal Supply and Services, General Services Administration (FT), Crystal Mall Building 4, 1941 Jefferson Davis Highway, Arlington, VA 22202.

Notification procedure:

Inquiries by individuals should be addressed to the agency finance officer for which they traveled.

Record access procedures:

Requests from individuals should be addressed to the agency finance officer for which they traveled. Individuals must furnish their full name and the authorizing department or agency and component of their records to be located and identified.

Contesting record procedures:

Individuals wishing to request amendment of their records should contact the agency finance officer for which they traveled. Individuals must furnish their full name and the authorizing agency and component for which the individual traveled.

Record source categories:

Charge card applications, monthly reports from the contractor, travel authorizations and vouchers, and data interchanged between agencies.

GSA/GOVT-4

System name:

Contracted Travel Services Program.

System location:

This system of records is located in the travel agencies under contract with a Federal agency and in the administrative offices of Federal agencies.

Categories of records in the system:

Individuals covered by the system are current Federal employees on travel and individuals being provided travel by the Government.

Categories of records in the system:

Records include traveler's profile which contains name of individual, social security number, home and office telephones, agency's name, address, and telephone number, air travel preference, rental car identification number and preference of car, hotel preference, current passport and/or visa number, personal credit card numbers, and additional information; travel authorization; and monthly reports from travel agent(s) showing charges to individuals, balances, and other types of account analyses.

Authority for maintenance of the system:

31 U.S.C. 711; interpret or apply 31 U.S.C. 3511, 3512, and 3423.

Purpose(s):

To assemble in one system information to enable travel agents who are under contract to the Federal Government to issue and account for travel provided to individuals.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. To disclose information to a Federal, State, local, or foreign agency responsible for investigating, prosecuting, enforcing, or carrying out a statute, rule, regulation, or order, where the agencies become aware of a violation or potential violation of civil or criminal law or regulation.

b. To disclose information to another Federal agency or a court when the Government is party to a judicial proceeding.

c. To disclose information to a Member of Congress or a congressional staff member in response to an inquiry from that congressional office made at the request of that individual.

d. To disclose information to an expert, a consultant, or contractor of the agency in performing a Federal duty.

e. To disclose information to a credit card company for billing purposes.

f. To disclose information to a Federal agency for accumulating reporting data and monitoring the system.

g. To disclose information to the agency by the contractor in the form of itemized statements or invoices, and reports of all transactions including refunds and adjustments to enable audits of charges to the Government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file cabinets. Computer records within a computer and attached equipment.

Retrievability:

Filed by name and/or social security number at each location.

Safeguards:

Records stored in lockable file cabinets or secured rooms. Computerized records protected by password system. Information released only to authorized officials on a need-to-know basis.

Retention and disposal:

Records kept by the Federal agency are held for three years and then destroyed. Records kept by the travel agency are held and destroyed no longer than three years.

System manager(s) and address:

Director, Office of Transportation, Office of Federal Supply and Services, General Services Administration (FT), Crystal Mall Building 4, 1941 Jefferson Davis Highway, Arlington, VA 22202.

Notification procedure:

Inquiries from individuals should be addressed to the appropriate agency's administrative office for which they traveled.

Record access procedures:

Requests from individuals should be addressed to the appropriate agency's administrative office for which they traveled. Individuals must furnish their full name and the authorizing department or agency and components for their records to be located and identified.

Contesting record procedures:

Individuals wishing to request amendment of their records should contact the appropriate agency's administrative office for which they traveled. Individuals must furnish their full name and the name of the authorizing agency, including duty station where they were employed when traveling if applicable.

Record source categories:

Individuals, employees, travel authorization, credit card companies.

MSPB/GOVT-1

System name:

Appeals and Case Records.

System locations:

Office of the Clerk of the Board, Merit Systems Protection Board (MSPB), Office of Administration, Information Resources Management Division, 1120 Vermont Avenue NW, Washington, DC 20419, and the MSPB regional offices (see list of Regional Office addresses in the Appendix).

Categories of individuals covered by the system:

a. Current and former Federal employees, applicants for employment, annuitants, and other individuals who have filed appeals with MSPB, or with respect to whom a Federal agency has petitioned MSPB concerning any matter over which MSPB has jurisdiction.

b. Current and former employees of state and local governments who have been investigated by the Special Counsel and have had a hearing before MSPB concerning possible violation of the Hatch Act.

Categories of records in the system:

a. These records contain information or documents such as briefs, pleadings, motions, exhibits, hearing tapes and transcripts, and MSPB decisions, which comprise the administrative records of appeals and other matters arising under the adjudicatory authority of MSPB. These records also contain individual appellant's names, social security numbers, home addresses, veterans status, race, sex, national origin and disability status data.

b. This system also includes the Board's automated Case Management System. The system, resident on MSPB headquarter's minicomputer, contains information from the above records.

Note: This system includes records and documents compiled by Federal agencies in processing adverse actions and actions based on unacceptable performance, covered by OPM/GOVT-3, when such actions are appealed to the MSPB.

Authority for maintenance of the system:

5 U.S.C. 1205, 1206, 1207, 1208, 7701 and 7702.

Purpose(s):

a. These records are used to document and adjudicate appeals and other matters arising under the MSPB original and appellate jurisdiction.

b. These records also serve a management information function by providing statistical data for reports, physical file location, and staff productivity.

Routine uses of records maintained in the system, including categories of users and the purpose of such uses

Information from the record may be disclosed:

a. To officials of the Equal Employment Opportunity Commission or the Special Panel convened under authority of 5 U.S.C. 7702 when requested in connection with the performance of their authorized duties;

b. To officials of the Office of Personnel Management, Office of Special Counsel, the Federal Labor Relations Authority and the Equal Employment Opportunity Commission in connection with the performance of their authorized duties;

c. To a Member of Congress or the Government Accounting Office regarding the status of an appeal or other action;

d. To a congressional office regarding an individual in response to an inquiry made at the request of that individual;

e. To a person in response to an inquiry made by that person on behalf of the individual to whom the record pertains;

f. To an appropriate Federal or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order where there is an indication of a violation or potential violation of civil or criminal law or regulation;

g. To the Office of Management and Budget at any stage in the legislative process in connection with private relief legislation as set forth in OMB Circular No. A-19;

h. To the Department of Justice when:

(1) The agency, or any component thereof; or

(2) Any employee of the agency in the employee's official capacity; or

(3) Any employee of the agency in the employee's individual capacity where the Department of Justice has agreed to represent the employee; or

(4) The United States is a party to litigation or has an interest in such litigation and the use of such records is deemed to be relevant and necessary to the litigation, providing that the disclosure of the records is a use of the information contained in the records that is compatible with the purpose for which the records were collected, or approval or consultation is required.

i. In any proceeding before a court or adjudicative body before which the agency is authorized to appear, when:

(1) The agency, or any component thereof; or

(2) Any employee of the agency in the employee's official capacity; or

(3) Any employee of the agency in the employee's individual capacity where the agency has agreed to represent the employee; or

(4) The United States is a party to litigation or has an interest in such litigation and the use of such records is deemed to be relevant and necessary to the litigation, providing that the disclosure of the records is a use of the information contained in the records that is compatible with the purpose for which the records were collected, or approval or consultation is required.

j. To any person making an inquiry regarding a proceeding before the MSPB;

k. To the National Archives and Records Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906;

l. In response to a request for discovery or for appearance of a witness, if the information is relevant to the subject matter involved in a pending judicial or administrative proceeding;

m. To Federal and state agencies for the purpose of providing MSPB with information concerning MSPB appellants, which information will be used, absent personal identifiers, in the MSPB research projects mandated by 5 U.S.C. 1205(a)(3); and

n. To officials of the U.S. Court of Appeals for the Federal Circuit in connection with the performance of their judicial functions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in file folders and in computer processible storage media. Case files are housed in automated records storage and retrieval systems.

Retrievability:

These records are retrieved by the names of the individuals on whom they are maintained, by social security numbers and by MSPB docket numbers.

Safeguards:

Access to these records is limited to persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure. Automated records in this system are maintained in a secure computer room in a building with restricted access. Automated records are protected from unauthorized access through password identification procedures and other system-based protection methods.

Retention and disposal:

Paper records are maintained for up to one year after a final determination by MSPB or, in some instances, other administrative authorities or the courts. Thereafter, they are transferred to the National Archives and Records Administration Regional Federal Records Centers or other appropriate facility. Paper records are destroyed by the Federal Records Centers when the records are six years old. Electronic records of the Case Management System are maintained as a permanent MSPB set of records.

System manager(s) and addresses:

The Clerk of the Board and the Office of Administration, Information Resources Management Division, 1120 Vermont Avenue, NW, Washington, DC 20419, and the MSPB regional offices (see list of regional office addresses in the Appendix).

Notification procedures:

Individuals wishing to inquire whether this system of records contains information about them should contact the Clerk of the Board and must follow the MSPB Privacy Act regulations at 5 CFR 1205.11 regarding such inquiries.

Record access procedures:

Individuals requesting access to their records should contact the Clerk of the Board. If the requester has reason to believe the records in question are located in a regional office, it is appropriate to submit the request to that office. Such requests should be addressed to the regional director (See the list of regional office addresses in the Appendix). Requests for access to records must follow the MSPB Privacy Act regulations at 5 CFR 1205.11.

Contesting record procedures:

Individuals requesting amendment should contact the Clerk of the Board. If the requester has reason to believe the records in question are located in a regional office, it is appropriate to submit the request to that office. Requests to the regions should be addressed to the regional director (See the list of regional office addresses in the Appendix). Requests for amendment of records must follow the MSPB Privacy Act regulations at 5 CFR 1205.21. These provisions for amendment of the record are not intended to permit the alteration of evidence presented in the course of adjudication before the MSPB either before or after the MSPB has rendered a decision on the appeal.

Record source categories:

The sources of these records are:

a. The individual to whom the record pertains;

b. The agency employing the above individual;

c. The Merit Systems Protection Board, the Office of Personnel Management, the Equal Employment Opportunity Commission, the Office of the Special Counsel;and

d. Other individuals or organizations from whom the MSPB has received testimony, affidavits or other documents.

Appendix -- Regional Offices of the Merit Systems Protection Board:

Atlanta Regional Office, Merit Systems Protection Board,

401 West Peachtree Street, NW., 10th Floor, Atlanta Georgia, 30308
Boston Regional Office, Merit Systems Protection Board,
10 Causeway Street, Suite 1078, Boston, Massachusetts 02222-1042
Chicago Regional Office, Merit Systems Protection Board,
230 South Dearborn Street, 31st Floor, Chicago, Illinois 60604-1669
Dallas Regional Office, Merit Systems Protection Board,
1100 Commerce Street, Room 6F20, Dallas, Texas 75242-9979
Denver Regional Office, Merit Systems Protection Board,
730 Simms Street, Suite 301, P.O. Box 25025, Denver, Colorado 80225-0025
New York Regional Office, Merit Systems Protection Board,
26 Federal Plaza, Room 3137-A, New York, New York 10278-0022
Philadelphia Regional Office, U.S. Customhouse,
Room 501, Second and Chestnut 17842 Streets, Philadelphia, Pennsylvania
19106-2904
St. Louis Regional Office, Merit Systems Protection Board,
911 Washington Ave., Suite 615, St. Louis, Missouri 63101-1203
San Francisco Regional Office, Merit Systems Protection Board, 525 Market
Street, Room 2800, San Francisco, California 94105-2789
Seattle Regional Office, Merit Systems Protection Board, 915 Second Avenue,
Room 1840, Seattle, Washington 98174-1001
Washington, D.C. Regional Office, Merit Systems Protection Board,
5203 Leesburg Pike Suite, Suite 1109, Falls Church, Virginia 22041-3473

OGE/GOVT-1

System name:

Executive Branch Public Financial Disclosure Reports and Other Ethics Program Records.

System location:

Director, Office of Government Ethics, Suite 500, 1201 New York Avenue, NW, Washington, DC 20005-3917, and designated agency ethics offices.

Categories of individuals covered by the system:

This system contains records on: The President, Vice President, and candidates for those offices; officers and employees including special Government employees, whose positions are classified at grades GS-16 and above or at an equivalent rate under another pay schedule; individuals who are classified at GS-16 and above or in equivalent positions who provide staff functions in support of an advisory committee composed of at least one special Government employee; officers or employees in a position determined by the Director of the Office of Government Ethics to be of equal classification to GS-16 or above; Administrative Law Judges; excepted service employees in positions that are of a confidential or policy-making nature unless an employee or grounds of employees are exempted by the Director of the Office of Government Ethics; each member of a uniformed service whose pay grade is at or in excess of 0-7 under section 201 of title 37, United States Code; the Postmaster General, the Deputy Postmaster General, Governor of the Board of Governors of the U.S. Postal Service and each officer of employee or employee of the U.S. Postal Service whose basic rate of pay is equal to or greater than the minimum rate of basic pay fixed for GS-16; the Director of the Office of Government Ethics and officials designated to act as agency ethics officers (designated agency ethics officials); any civilian employee employed in the Executive Office of the President (other than a special Government employee) who holds a commission of appointment from the President; and nominees for positions requiring Senate confirmation. This system includes both former and current employees in these categories who have filed financial disclosure statements under the requirements of the Ethics in Government Act of 1978, as amended, or who otherwise come under the requirements of the Ethics Act. For administering all provisions of the Ethics in Government Act of 1978 and the Ethics Reform Act of 1989 (Pub. L. 101-194), as amended, the system may contain information on any officer or employee of the executive branch.

Categories of records in the system:

This system of records contains: Financial information such as salary, dividends, receipts from the purchase or sale of land, exchange of property, spouse's and children's interest earnings, funds from trust accounts, gifts, reimbursements, interest on property, and compensation for duties performed; information on liabilities in excess of $10,000; information about positions as an officer, director, trustee, partner, proprietor, representative, employee, or consultant of any corporation, company, firm, partnership, or other business, nonprofit organization, labor organization, or educational institution; information about non-Government employment agreements, such as leaves of absence to accept Federal service, continuation of payments by non-Federal employer welfare and benefit plans; and information about assets placed in trust pending disposal; and other documents developed by the Director of the Office of Government Ethics, or agency ethics officials in administering the Ethics of Government Act of 1978 or the Ethics Reform Act of 1989

(Pub. L. 101-194), as amended. Such other documents may include, but will not be limited to: Ethics agreements, documentation of waivers issued to an officer or employee by an agency pursuant to section 208(b)(1) or section 208(b)(3) of title 18, U.S.C.; certificates of divestiture issued by the President or by the Director of OGE pursuant to section 502 of the Ethics Reform Act of 1989 (26 U.S.C. 1043); and information necessary for the rendering of advice or formal advisory opinions, or the resolution of complaints.

Authority for maintenance of the system:

Pub. L. 95-521, Ethics in Government Act of 1978 and Pub. L. 101-194, Ethics Reform Act of 1989, as amended.

Purpose(s):

These records are maintained to meet the requirements of the Ethics in Government Act of 1978 and the Ethics Reform Act of 1989, as amended, regarding the filing of financial status reports, reports concerning certain agreements between the covered individual and any prior private sector employer, ethics agreements, and the preservation of waivers issued to an officer or employee pursuant to section 208 of title 18 and certificates of divestiture issued pursuant to section 502 of the Ethics Reform Act. Such statements and related records are required to assure compliance with these acts and to preserve and promote the integrity of public officials and institutions.

Note: When an agency is requested to furnish such records to the Director of the Office of Government Ethics, such a disclosure is to be considered as made pursuant to provisions of the Privacy Act (5 U.S.C. 552a(b)(1)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and information in these records may be used:

a. To disclose any and all of the information furnished by the reporting official, in accordance with provisions of section 205 of the Ethics in Government Act of 1978 (section 105 of the Ethics Act, as amended), to any requesting person.

b. To disclose, in accordance with section 105 of the Ethics in Government Act, as amended, and subject to the limitations contained in section 208(d)(1) of title 18, U.S.C., any determination granting an exemption pursuant to 208(b)(1) or 208(b)(3) of title 18, U.S.C., to any requesting person.

Note: No disclosures can be made pursuant to this new routine use until on or after March 26, 1990.

c. To disclose pertinent information to the appropriate Federal, State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation or civil or criminal law or regulation.

d. To disclose information to another Federal agency, to a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency, either when the Government is a party to a judicial or administrative proceeding or in order to comply with the issuance of a subpoena.

e. To disclose information to any source when necessary to obtain information relevant to a conflict-of-interest investigation or determination.

f. By the National Archives and Records Administration or the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

g. To disclose information to the Office of Management and Budget at any stage in the legislative coordination and clearance process in connection with private relief legislation as set forth in OMB Circular No. A-19.

h. To disclose, in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in file folders, automated media, or on microfiche or microfilm.

Retrievability:

These records are retrieved by the name and social security number of the individual on whom they are maintained.

Safeguards:

These records are maintained in filing cabinets to which only authorized personnel have access.

Retention and disposal:

These records are generally maintained for a period of six years after filing, except when filed by a nominee for an appointment requiring confirmation by the Senate when the nominee is not appointed and Presidential and Vice-Presidential candidates who are not elected. In these cases, the record is destroyed one year after the date the individual ceased being under Senate consideration for appointment or is no longer a candidate for office. Further, if the records are needed in an ongoing investigation, they will be retained until no longer needed in the investigation. Destruction is by shredding or burning.

System manager(s) and address:

Director, Office of Government Ethics, Suite 500, 1201 New York Avenue, NW, Washington, DC 20005-3917.

Notification procedure:

Individuals wishing to inquire whether this system of records contains information about them should contact, as appropriate:

a. For records filed directly with the Office of Government Ethics, contact the system manager.

b. For records filed with designated agency ethics officials or the Executive Secretary concerned, contact the designated agency ethics official or Headquarters, department or agency, Washington, DC (ZIP code).

c. For records filed with the Federal Election Commission by candidates for President or Vice President, contact the Staff Director, Federal Election Commission, 999 E Street, NW, Washington, DC 20463.

Individuals wishing to inquire whether this system of records contains information about them should contact the appropriate office listed above. Individuals must furnish the following information for their records to be located and identified:

a. Full name.

b. Department or agency and component with which employed or proposed to be employed.

Record access procedures:

Individuals wishing to request access to their records should contact the appropriate office as shown in the Notification Procedure section. Individuals must furnish the following information for their records to be located and identified:

a. Full name.

b. Department or agency and component with which employed or proposed to be employed.

Contesting record procedures:

Since the information in these records is updated on a periodic basis, most record corrections can be handled through established administrative procedures for updating the records. However, individuals can obtain information on the procedures for contesting the records under the provisions of the Privacy Act by contacting the appropriate office shown in the Notification Procedure section.

Record source categories:

Information in this system of records is provided by:

a. The subject individual or by a designated person, such as a trustee, attorney, accountant, or relative.

b. Federal officials who review the statements to make conflict of interest determinations.

c. Persons alleging conflict of interests and persons contacted during any investigation of the allegations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These statements and amended statements required by or pursuant to Executive Orders 12674 (Part II), 12565, and 11222 (Part IV), as amended, 5 CFR Part 735, agency regulations thereunder, and/or section 207 of the Ethics in Government Act of 1978 (section 107 of the Ethics Act, as amended), are to be held in confidence and no informations therefrom shall be disclosed except:

a. To disclose pertinent information to the appropriate Federal, State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation.

b. To disclose information to another Federal agency, to a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency, either when the Government is party to a judicial or administrative proceeding or in order to comply with the issuance of a subpoena.

c. To disclose information to any source when necessary to obtain information relevant to a conflict-of-interest investigation or determination.

d. To or by the National Archives and Records Administration or the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

e. To disclose information to the Office of Management and Budget at any stage in the legislative coordination and clearance process in connection with private relief legislation as set forth in OMB Circular No. A-19.

f. To disclose, in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in file folders, in automated media, or on microfiche or microfilm.

Retrievability:

These records are retrieved by the name and social security number of the individual on whom they are maintained.

Safeguards:

These records are located in locked metal file cabinets to which only authorized personnel have access.

Retention and disposal:

These records are disposed of when six years old; except that documents needed in an on-going investigation will be retained until no longer needed in the investigation. Disposal is by shredding or burning.

System manager(s) and address:

Director of the Office of Government Ethics, Suite 500, 1201 New York Avenue, NW, Washington, DC 20005-3917.

Notification procedure:

Individuals wishing to inquire whether this system of records contains information about them should contact the Ethics Officer at the agency where the reports were filed.

Individuals must furnish the following information for their records to be located and identified:

a. Full name.

b. Department or agency and component with which employed or proposed to be employed.

Record access procedures:

Individuals wishing to request access to their records should contact the Ethics Officer at the agency where the reports were filed. Individuals must furnish the following information for their records to be located and identified:

a. Full name.

b. Department or agency and component with which employed or proposed to be employed.

Contesting record procedures:

Since the information in these records is updated on a periodic basis, most record corrections can be handled through established administrative procedures for updating records. However, individuals can obtain information on the procedures for contesting the records under the provisions of the Privacy Act by contacting the Ethics Officer at the agency where the reports were filed.

Record source categories:

Information in this system of records is provided by:

a. The subject individual or by a designated person such as a trustee, attorney, accountant, or relative.

b. Federal officers who review the statements to make conflict of interest determinations.

c. Persons alleging conflicts of interests and persons contacted during any investigation of the allegations.

OGE/GOVT-2

System name:

Confidential Statements of Employment and Financial Interests.

System location:

Individual agency ethics offices or other designated agency offices.

Categories of individuals covered by the system:

Officers and employees who are required by their agency pursuant to or under Executive Orders 12674, 12565, and 11222 (as amended), 5 CFR part 735, or section 207 of the Ethics in Government Act of 1978, or section 107 of the Ethics Act, as amended, to file such statements. The system includes both former and current Federal employees in these categories.

Categories of records in the system:

These records contain statements and amended statements of personal and family holdings and other interests in business enterprises and real property; listings of creditors and outside employment; opinions of counsel; and other information related to conflict of interest determinations.

Authority for maintenance of the system:

Executive Orders 12674, 12565, and 11222 (as amended); Pub. L. 95-521, Ethics in Government Act of 1978 and Pub. L. 101-194, Ethics Reform Act of 1989, as amended.

Purpose(s):

These records are maintained to meet the requirements of or under Executive Orders 12674, 12565, and 11222 (as amended), 5 CFR part 735, agency regulations thereunder, as well as section 207 of the Ethics in Government Act of 1978 (section 107 of the Ethics Act, as amended, by the Ethics Reform Act of 1989), concerning the filing of employment and financial interest statements. Such statements are required to assure compliance with the standards of conduct for Government employees contained in the Executive Orders, agency regulations and title 18, U.S.C., and to determine if a conflict of interest between the employment of individuals by the Federal Government and their personal employment and financial interests. To enable the Director of the Office of Government Ethics to ensure that these purposes are met, agency maintained records are to be made available to that office on request.

Note: When an agency is requested to furnish such records to the Director of the Office of Government Ethics, such a disclosure is to be considered as made pursuant to provisions of the Privacy Act (5 U.S.C. 552a(b)(1)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These statements and amended statements required by or pursuant to Executive Orders 12674 (Part II), 12565, and 11222 (Part IV), as amended, 5 CFR Part 735, agency regulations thereunder, and/or section 207 of the Ethics in Government Act of 1978 (section 107 of the Ethics Act, as amended), are to held in confidence and no information therefrom shall be disclosed except:

a. To disclose pertinent information to the appropriate Federal, State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation or civil or criminal law or regulation.

b. To disclose information to another Federal agency, to a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency, either when the Government is a party to a judicial or administrative proceeding or in order to comply with the issuance of a subpoena.

c. To disclose information to any source when necessary to obtain information relevant to a conflict-of-interest investigation or determination.

d. To or by the National Archives and Records Administration or the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

e. To disclose information to the Office of Management and Budget at any stage in the legislative coordination and clearance process in connection with private relief legislation as set forth in OMB Circular No. A-19.

f. To disclose, in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in file folders, automated media, or on microfiche or microfilm.

Retrievability:

These records are retrieved by the name and social security number of the individual on whom they are maintained.

Safeguards:

These records are maintained in locked metal filing cabinets to which only authorized personnel have access.

Retention and disposal:

These records are disposed of when six years old; except that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. Disposal is by shredding or burning.

System manager(s) and address:

Director, Office of Government Ethics, Suite 500, 1201 New York Avenue, NW, Washington, DC 20005-3917.

Notification procedure:

Individuals wishing to inquire whether this system of records contains information about them should contact the Ethics Officer at the agency where the reports were filed.

Individuals must furnish the following information for their records to be located and identified:

a. Full name.

b. Department or agency and component with which employed or proposed to be employed.

Record access procedures:

Individuals wishing to request access to their records should contact the Ethics Officer at the agency where the reports were filed. Individuals must furnish the following information for their records to be located and identified:

a. Full name.

b. Department or agency and component with which employed or proposed to be employed.

Contesting record procedures:

Since the information in these records is updated on a periodic basis, most record corrections can be handled through established administrative procedures for updating the records. However, individuals can obtain information on the procedures for contesting the records under the provisions of the Privacy Act by contacting the Ethics Officer at the agency where the reports were filed.

Record source categories:

Information in this system of records is provided by:

a. The subject individual or by a designated person, such as a trustee, attorney, accountant, or relative.

b. Federal officials who review the statements to make conflict of interest determinations.

c. Persons alleging conflict of interests and persons contacted during any investigation of the allegations.

★U.S. GOVERNMENT PRINTING OFFICE: 1991. 281. 64923785